

Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Tiers Mail Queue Notifications Activity Error Log Export Attempts Referrals Referral Bonuses

Whitelisted IPs Risk Scoring Transaction Monitoring Security Question Supporting Documents

INTERNAL ID	Y0DEKN
MANUALRISKSCORE	35
TOTAL RISK SCORE	35
RISK LEVEL	Medium
COMPLIANCE ADVANTAGE	0
HITS	0
COMPLIANCE ADVANTAGE LINK	<a href="#">Compliance Advantage Link</a>
VERIFICATION LINK	Approved
APPLICATION STATUS	Approved
CATEGORY	Approved By Compliance
NUMBER OF ATTEMPT TO JUMIO	3
	Reset

## KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of Birth	Korea (South)	0
11	Citizenship on the document	Korea (South)	25
12	Please tell us about your current employment status.	Employed	0
13	Please tell us about your occupation or business activity.	Technology and communications-information technology	5
14	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
15	Is your individual activity or business registered or conducted in preferential tax zone for instance, free economic zone, offshore jurisdiction?	No	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10k (more or little of my turnover is in cash)	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10k (more or little of my turnover is in cryptocurrency)	0
18	Please tell us about your source(s) of income funds. Select more than one box if necessary.	Salary / business income, loan / Credit	0
19	Please select the service(s) you plan to use. Select more than one box if necessary.	Employment income, Business profits	0
20	How much do you plan to deposit per year (USD and crypto combined)?	Crypto Trading, Long term investment, Participate in Initial Exchange Offering, Crypto payment	5
21	Let us know what your level of experience is with cryptocurrency trading? Please select one:	< 10 000	0
22	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public function in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	Korea (South)	0
23		Beginner	0
24		< 1 Year	0
25		No	0

## Comment

Add a comment...

Add Comment	DATE & TIME	FULL NAME	ROLE	COMMENT
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6/9/2021 12:51:05 PM

Based on the KYC response, the Customer is Medium Risk considering the following risk factors:

- Citizenship on the document is Korea (South) [25]
- Occupation or business activity is Technology and communications-information technology [5]
- Selected service includes Crypto Trading, Long term investment, Participate in Initial Exchange Offering, Crypto payment [5]

Screening is performed against the Customer. There is no hit against the searched name.

The Customer provided a validated ID document and passed Jumo but the ID document cannot be shown on the admin panel due to the technical issue.

Overall, KYC Onboarding Analyst [REDACTED] is of the view that the Initial AML CTF Assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk. [RISK SCORE:35].

Profile, Balances, Ledger, Deposits, Deposit Addresses, Withdrawals, Redemption Limits, Withdrawal Addresses, Bank Accounts, Active Orders, Completed Orders, Trades, Vests, Mail Queue, Notifications, Activity, Error Log, Explicit Attempts, Referrals, Internal Remarks, Withdrawals, KYC Questionnaire, Transaction Monitoring, Security Questions, Supporting Documents

**Risk Scoring**

INTERNAL ID: 2123PFC

MANUAL RISK SCORE: 31

RISK LEVEL: Medium

COUNTRY ADVANTAGE: 0

COUNTRY ADVANTAGE LINK: [Country Advantages Link](#)

VERIFICATION: Approved

APPLICATION STATUS: Approved By: [Customer](#)

CATEGORY: [Tax & Finance Law](#)

NUMBER OF ATTEMPT TO JUDGE: 3

Best

### KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
1	Place of birth	China	0
2	Citizenship on the document	China	31
3	Please tell us about your current employment status.	Employed	0
4	Please tell us about your occupation or business activity.	Technology and communications-information technology	0
5	Please tell us about business you may conduct in other country's besides where you are registered for tax purposes?	No	5
6	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
7	Please tell us about your annual turnover, in individual or business activity, which is recorded in cash.	0-10K (none or title of my turnover is in cash)	0
8	Please tell us about your annual turnover, in individual or business activity, which is recorded in cryptocurrency.	0-10K (none or title of my turnover is in cryptocurrency)	0
9	Please tell us about your sources of wealth. Select more than one box if necessary.	Salary, business income	0
10	Please tell us about your sources of wealth. Select more than one box if necessary.	Employment income	0
11	Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, long term investment, participate in initial exchange offering	0
12	How much do you plan to deposit per year (USD and crypto combined)?	< 10,000	15
13	Please tell us which countries the funds will be received and/or transferred from.	China	0
14	Let us know what your level of experience is with cryptocurrency trading? Please select one	Beginner	0
15	How many years of experience do you have in crypto trading?	< 1 Year	0
16	Are you an immediate family member or a close associate, entrusted, or have been entrusted, with government public functions in any country or international institution? This could be a public official, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

### Comment

Auto 2 Comments

Add Comment

DATE & TIME	FULL NAME	NOTE	COMMENT
6/2/2021 4:16:03 PM			<p>Based on the KYC responses, the Customer is Medium Risk considering the following risk factors: Citizenship of China (31), fund being transferred from China (15) and Occupation of IT (0).</p> <p>Screening is performed against the Customer. There are 7 hits against the searched names. In detail, they are false possible hits disclosed by Full Name Wen March.</p> <p>Overall, KYC Onboarding Analysis is of the view that the initial AML, CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboarding the Customer with Medium Risk - 31 points.</p>

Profile Balances Ledger Deposits Deposit Addresses Withdrawals  
Transaction Monitoring Security Question Supporting Documents

Risk Scoring

INTERNAL ID	VALUREX
MANUALRISKSCORE	0
TOTAL RISK SCORE	50
RISK LEVEL	Medium
COMPLYADVANTAGE	0
HITS	0
COMPLYADVANTAGE LINK	<a href="#">ComplyAdvantage Link</a>
VERIFICATION	Approved
APPLICATION STATUS	Approved
CATEGORY	Approved By Compliance
NUMBER OF ATTEMPT TO	5
JUNIO	Reset

### Risk Score Update History

DATE & TIME	FILE NAME	ROLE	RISK SCORE	RISK LEVEL
5/2022 6:29:24 AM	Auto (System)	Auto (System)	50	Medium

### KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of birth	China	0
11	Citizenship on the document	China	25
12	Please tell us about your current employment status.	Self-employed	5
13	Please tell us about your occupation or business activity.	Technology and communications-Telecommunication	5
14	Please tell us about business you may conduct in other country's besides where you are registered for tax purposes?	No	0
15	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10% (income or little of my turnover is in cash)	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10% (income or little of my turnover is in cryptocurrency)	0
18	Please tell us about your source(s) of income (funds). Select more than one box if necessary.	Salary / business income, Savings	0
19	Please tell us about your source(s) of wealth? Select more than one box if necessary.	Employment income	0
20	Please select the service(s) you plan to use. Select more than one box if necessary.	Participate in Initial Exchange Offering	0
21	How much do you plan to deposit per year (USD and crypto combined)?	10 000 100 000	0
22	Please tell us which countries the funds will be received and/or transferred from.	China	15
23	Let us know what your level of experience is with cryptocurrency trading? Please select one.	Beginner	0
24	How many years of experience do you have in crypto trading?	< 1 YEAR	0
25	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

### Comment

ADD A COMMENT...

DATE & TIME	FILE NAME	ROLE	COMMENT
28/2022 9:59:57 AM			Manual checking required: a. Full Name matches with Junio record b. DOB matches with Junio record c. Full address provided d. Origin of Funds from US/Canada/Japan - Nil e. No connection to any Unsupported Country f. Discounting of Screening Hits - zero English and Chinese name search hit. Based on New Business Committee's guidance on Oct 1 2021, it is agreed to onboard the Customer with China residency with Medium risk (50). Full address requested #208642
2/25/2022 12:28:45 PM			

INTERNAL ID	EB8N37
MANUAL RISK SCORE	35
TOTAL RISK SCORE	35
RISK LEVEL	Medium
COUNTRY ADVANTAGE	0
LINK	<a href="#">Complete Advantage Link</a>
VERIFICATION	Auto-Approved
APPLICATION STATUS	▼ Save & inform user
CATEGORY	
NUMBER OF ATTEMPT TO	4
STATUS	Reset

### Risk Score Update History

DATE & TIME	ROLL NAME	ROLL	RISK SCORE	RISK LEVEL
10/20/23 6:20:42 PM	Auto (System)	Auto (System)	35	Medium

### Q/C Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
1	Place of birth	China	0
2	Citizenship on the document	China	25
3	Please tell us about your current employment status.	Self-employed	5
4	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	没有，暂时还没有——目前计划没有	0
5	Please tell us about business you may conduct in preferred tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
6	Is your individual activity or business registered or conducted in preferred tax zone for instance, free economic zone, offshore jurisdiction?	No	0
7	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10k (none or little of my turnover is in cash)	0
8	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10k (none or little of my turnover is in cryptocurrency)	0
9	Please tell us about your source(s) of income (funds). Select more than one box if necessary.	Salary / business income, Savings	0
10	Please tell us about your source(s) of wealth? Select more than one box if necessary.	Employment income, Business profits	0
11	Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term investment, Participate in initial exchange offering, Crypto payment	5
12	How much do you plan to deposit per year (USD and crypto combined)?	< 10 000	0
13	Please tell us which countries the funds will be received and/or transferred from.	Taiwan	0
14	Let us know what your level of experience is with cryptocurrency trading? Please select one	Singapore	0
15	How many years of experience do you have in crypto trading?	Beginner	0
16	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	< 1 Year	0
17		No	0

### Comment

ADD A COMMENT...

Add Comment

DATE & TIME ROLL NAME ROLL COMMENT

11/17/2023 5:58:23 AM Chinese input of Q13 is Media, Art Design - Freelance 3D Animator, China ID provided can be used as POA.



Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Tiers Mail Queue Notifications Activity Error Log Export Attempts Referrals Referral Bonuses Withdrawal Fees **Risk Scoring**

Transaction Monitoring Security Question Supporting Documents

INTERNAL ID	PRCCGA
MANUAL SCORE	0
TOTAL RISK SCORE	45
RISK LEVEL	Medium
COMPL ADVANTAGE	0
HITS	0
COMPL ADVANTAGE LINK	<a href="#">Copy Advantage Link</a>
VERIFICATION	Auto-Approved
APPLICATION STATUS	Auto-Approved
CATEGORY	▼ <a href="#">Show All Referral Links</a>
NUMBER OF ATTEMPT TO	1
JUMBO	Reject

### RYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
1	Place of birth	China	0
2	Citizenship on the document	China	25
3	Please tell us about your current employment status.	Employed	0
4	Please tell us about your occupation or business activity.	Health and wellness-Health care	5
5	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
6	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
7	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10K (none or little of my turnover is in cash)	0
8	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10K (none or little of my turnover is in cryptocurrency)	0
9	Please tell us about your sources of income/funds. Select more than one box if necessary.	Salary / business income, Savings inheritance, Employment income	0
10	Please tell us about your sources of wealth Select more than one box if necessary.	Crypto Trading, Long term investment, Participate in Initial Exchange Offering	0
11	Please select the service(s) you plan to use. Select more than one box if necessary.	10 000 100 000	15
12	How much do you plan to deposit per year (USD and crypto combined)?	China	0
13	Please tell us which countries the funds will be received and/or transferred from.	Beginner	0
14	Let us know what your level of experience is with cryptocurrency trading? Please select one	< 1 Year	0
15	How many years of experience do you have in crypto trading?	No	0
16	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.		

### Comment

Add a comment...

Add Comment

INTERNAL ID: CXCAC

MANUAL RISK SCORE: 0

TOTAL RISK SCORE: 41

RISK LEVEL: Medium

HITS: 0

COMPLY ADVANTAGE: 0

LINK: [Comply Advantage Link](#)

VERIFICATION STATUS: Approved

CATEGORY: Approved By Compliance

NUMBER OF ATTEMPT TO: 1

REMARK: Risker

Save & Inform User

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
1	Place of birth	China	0
2	Citizenship on the document	China	31
3	Please tell us about your current employment status.	Employed	0
4	Please tell us about your occupation or business activity.	Technology and communications-information technology	5
5	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
6	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
7	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10k (none or little of my turnover is in cash)	0
8	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10k (none or little of my turnover is in cryptocurrency)	0
9	Please tell us about your source(s) of income funds. Select more than one box if necessary.	Salary / business income	0
10	Please select the service(s) you plan to use. Select more than one box if necessary.	Employment income	0
11	How much do you plan to deposit per year (USD and crypto combined)?	Crypto Trading, long term investment, Crypto payment	5
12	Let us know what your level of experience is with cryptocurrency trading? Please select one	< 10,000	0
13	How many years of experience do you have in crypto trading?	Hong Kong	0
14	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	Beginner	0
15		< 1 Year	0
16		No	0

Comment

Add a comment...

DATE & TIME	FULL NAME	ROLE	COMMENT
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5/18/2021 8:30:14 AM

Based on the KYC responses, the Customer is Medium Risk considering the following risk factors:

The citizenship of customer is China, claimed as employed and engaged in technology and communications-information technology, and the purpose of opening account were Crypto Trading, long term investment and Crypto payment.

Screening is performed against the customer. There are 7 hits against the searched names. The hits are identified as false hit since either the name or age of persons mentioned in the hits are not matched with the customer's profile and no evidence shows that customer has direct linkage with the company mentioned in the hit.

Email has been sent to the customer due to his country of residency.

Overall, KYC Onboarding Analyst, [REDACTED] is of the view that the initial AML/CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk (M).

INTERNAL ID

MANUALRISKSCORE

TOTAL RISK SCORE

RISK LEVEL

COMPL/ADVANTAGE

HITS

COMPL/ADVANTAGE LINK

VERIFICATION STATUS

APPLICATION STATUS

CATEGORY

NUMBER OF ATTEMPT TO

JUNIO

NCV3XMI

0

50

Medium

0

Compl/Advantage Link

Approved

Approved By Compliance

3

Reset

Risk Score Update History

DATE & TIME	FULL NAME	ROLE	RISK SCORE	RISK LEVEL
27 2023 1:25:41 PM	Auto (System)	Auto (System)	50	Medium
27 2023 1:19:26 PM	Auto (System)	Auto (System)	30	Low
27 2023 1:19:15 PM	Auto (System)	Auto (System)	30	Low

NYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
11	Place of Birth	China	0
12	Citizenship on the document	China	25
13	Please tell us about your current employment status.	Employed	0
14	Please tell us about your occupation or business activity.	Other services-Financial services	5
15	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
16	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	60-90% (most of my turnover is in cash)	0
18	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10% (none or little of my turnover is in cryptocurrency)	0
19	Please tell us about your source(s) of income, funds. Select more than one box if necessary.	Salary / business income	0
20	Please select the service(s) you plan to use. Select more than one box if necessary.	Employment income	5
21	How much do you plan to deposit per year (USD and crypto combined)?	Crypto Trading, Long term investment, Arbitrage Trading, Participate in Initial Exchange Offering, Crypto payment	15
22	Please tell us which countries the funds will be received and/or transferred from.	< 10 000	0
23	Let us know what your level of experience is with cryptocurrency trading? Please select one:	China	0
24	How many years of experience do you have in crypto trading?	Beginner	0
25	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	< 1 Year	0

Comment

Add a comment...

Add Comment

DATE & TIME	FULL NAME	ROLE	COMMENT
2 2 2023 3:39:17 PM			Manual checking required a. Full Name matches with Junio record b. DOB matches with Junio record c. Full address provided and matched with ID which we accepted at valid POA. d. Origin of Funds from US, Canada, Japan - Nil e. No connection to any Unsupported Country f. Discounting of Screening Hits - zero English and Chinese name search hit. Based on New Business Committee's guidance on Oct 1 2021, it is agreed to onboard the Customer with China residency with Medium risk (50).

INTERNAL ID	HEROONK
MANUAL RISK SCORE	0
TOTAL RISK SCORE	50
RISK LEVEL	Medium
COUNTRY/ADVANTAGE	0
HITS	0
COMPLY/ADVANTAGE LINK	Compliance Link
VERIFICATION STATUS	Approved
CATEGORY	Approved by Compliance
NUMBER OF ATTEMPT TO	2
STATUS	Reset

Risk Score Update History

DATE & TIME	AUTO (SYSTEM)	FULL NAME	ROLE	RISK SCORE	RISK LEVEL
7/7/2021 8:59:25 AM	Auto (System)			50	Medium

KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
12	Place of birth	China	25
12	Citizenship on the document	China	0
12	Please tell us about your current employment status.	Employed	5
12	Please tell us about your occupation or business activity.	Technology and communications - information technology	0
12	Please tell us about your occupation or business activity.	No	0
12	Please tell us about business you may conduct in other country(ies) besides where you are registered for tax purposes?	No	0
12	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	0-10% (none or little of my turnover is in cash)	0
12	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10% (none or little of my turnover is in cryptocurrency)	0
12	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	Salary Business Income, Investments, Cryptocurrency trading	5
12	Please tell us about your source(s) of income funds. Select more than one box if necessary.	Employment income	0
12	Please tell us about your source(s) of wealth? Select more than one box if necessary.	Crypto Trading, Long term investment	0
12	Please select the service(s) you plan to use. Select more than one box if necessary.	10 000 100 000	0
12	How much do you plan to deposit per year (USD and crypto combined)?	China	15
12	Please tell us which countries the fund will be received and/or transferred from.	China	0
12	Let us know what your level of experience is with cryptocurrency trading? Please select one.	Intermediate	0
12	How many years of experience do you have in crypto trading?	3 - 5 Years	0
25	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

Comment

Add a comment...

DATE & TIME	FULL NAME	ROLE	COMMENT
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11/4/2021 5:53:08 PM

Based on the KYC responses, the Customer is considered Medium Risk. Screening is performed against the Customer. There are 4 hits against the searched name. All hits can be discounted due to name mismatch.

Validated with ID document the full name is consistent with customer submission. The original status "full name differs" can be discounted.

Date of birth has been remediated, now the DOB captured in the admin panel aligns with the ID document provided. The status "DOB differs" can be discounted.

Based New Business Committee's guidance on Oct 1 2021, it is agreed to onboard the Customer with China residency.

Based New Business Committee's guidance on 19 Aug 2021, the case has passed the Simplified Due-Diligence (SDD). KYC Onboarding Analysis is of the view that the initial AML CTR assessment result is consistent with the Customer's profile and does not oppose the decision to onboard this Customer with Medium Risk (Risk Score: 50).



INTERNAL ID 6816435  
MANUAL RISK SCORE 56  
TOTAL RISK SCORE 56  
RISK LEVEL Medium  
COMPLY ADVANTAGE 0  
HITS  
COMPLY ADVANTAGE LINK  
LINK  
VERIFICATION Approved  
APPLICATION STATUS Approved  
CATEGORY Approved By Compliance  
NUMBER OF ATTEMPTS TO 4  
JUMBO Reset

RVC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
1	Place of birth	China	0
2	Citizenship on the document	China	3.1
3	Please tell us about your current employment status.	Employed	0
4	Please tell us about your occupation or business activity.	Technology and communications-information technology	5
5	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
6	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	0-10% none or little of my turnover is in cash	0
7	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10% none or little of my turnover is in cryptocurrency	0
8	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	Salary Business income, Savings, Loan / Credit	0
9	Please tell us about your source(s) of wealth? Select more than one box if necessary.	Property sale, Employment income	0
10	Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term investment, Arbitrage Trading, Participate in Initial Exchange Offering, Crypto payment	5
11	How much do you plan to deposit per year (USD and crypto combined)?	10 000 100 000	0
12	Please tell us which countries the funds will be received and/or transferred from.	China	1.5
13	Let us know what your level of experience is with cryptocurrency trading. Please select one:	Switzerland	0
14	How many years of experience do you have in crypto trading?	Beginner	0
15	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	< 1 Year	0
16		No	0

Add Comment...

Add Comment

DATE & TIME

ROLE NAME

ROLE

COMMENT

15/5/2021 9:35:06 AM

Based on the RVC responses, the Customer is Medium Risk considering the following risk factors:

1. Citizenship on the document is China
2. Occupation or business activity is Technology and communications-information technology
3. Selected services include Crypto Trading, Long term investment, Arbitrage Trading, Participate in Initial Exchange Offering, Crypto payment
4. Funds will be received and/or transferred from China & Switzerland

Screening is performed against the Customer. There is no hit against the searched English name. There are 2 hits against the searched Chinese name.

All hits can be discounted due to name mismatch.

Notification email has been sent to the Customer due to his country of residency in China

Overall, RVC Onboarding Analyst [REDACTED] is of the view that the initial AML, CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk (RISK SCORE 50).

INTERNAL ID	CRITERIO
UNIVERSITÀ PRODOTTORE	5
ENTITÀ WORK ACCOUNT	5

	<b>HIGH LEVEL</b>	<b>English</b>
	(COMPARATIVE)	
	HHS	
	87	

[illegible]

### Risk Score Update History

Survey Questionnaire

	Task	Self-employed
1	1. Look for work	
2	2. Develop an idea for a business	
3	3. Obtain help to fund your current employment block.	
4		

[illegible]

Please send the response you gave to me. Send more than one if necessary.  
 How much do you plan to deposit per year (USD and crypto combined)?

Crypto Trading: Long term investors, focused on mid to long terms. Crypto platform:

10,000 - 100,000

Let us begin at the point where the argument is made to replace the existing Pension rules and

Current Rules  
Hiring Rules  
Retirement

*Could be a good idea, a government role, a regulatory role or a market making function, at times or in part.*

Add Comment

As per entry 4 signed by: Captain Robert Mann, Commander of the said ship by writing such and so things

bioRxiv preprint doi: <https://doi.org/10.1101/2017.04.21.137480>; this version posted April 21, 2017. The copyright holder for this preprint (which was not certified by peer review) is the author/funder, who has granted bioRxiv a license to display the preprint in perpetuity. It is made available under aCC-BY-NC-ND 4.0 International license.

Since the risk score calculation method is straightforward, we performed a client's risk score. Based on existing information, compliance on other than the AML ("AML") assessment tends to correlate with the customer's credit and the risk score can be recognized high [31].

██████████ has no further comments to Campdena Health's assessment and does not suppose the Customer with height 1.16.

The Company replied that its

No "happy" top. ABC's *11th Hour* is a different, if not the most anti-epidemic, off-beat, if not the most realistic, and its red-bait scare message above the threshold. The stated cause of death is commensurate with the culture.

**Effect on the NYC response:** The estimate is sign first concerning the following risk factor:

4. Following practice include *Cyber Training & Cyber Research* (2018). *Cyber Training & Cyber Research*. Available from: <http://www.cybertrainingandresearch.com>. (Accessed 15 Feb 19)

activities and the consistency of results, for example, the

Profile Balance Ledger Deposit Address Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Test Mail Queue Notifications Activity Error Log Export Alerts/Reports Reports Referral Bonuses Withdrawals for **Risk Scoring** Transaction Monitoring Security Question Supporting Documents

INTERNAL ID: VAM075  
 MANDATE/SECURITY ID: 123  
 TO RISK LEVEL: Medium  
 COMPLETION/STATUS: 0  
 LINK: [Complete/View Log](#)  
 VERIFICATION: Auto-Approved  
 APPROVAL STATUS: **W** 12/21/2023 12:00  
 CATEGORY: **W**  
 NUMBER OF ATTEMPTS TO: 2  
 RESET

## Risk Score Update History

DATE/TIME	REAL NAME	RISK SCORE	RISK LEVEL
1 30 2023 7:27:24 AM	Auto System	50	Medium
1 30 2023 7:26:12 AM	Auto System	50	Medium
1 30 2023 7:23:40 AM	Auto System	50	Medium
1 30 2023 7:24:58 AM	Auto System	50	Medium
1 30 2023 7:21:36 AM	Auto System	35	Medium
1 30 2023 7:20:53 AM	Auto System	10	Low
1 30 2023 7:19:06 AM	Auto System	10	Low
1 30 2023 7:18:23 AM	Auto System	10	Low
1 30 2023 7:17:24 AM	Auto System	10	Low
1 30 2023 7:16:36 AM	Auto System	10	Low
1 30 2023 7:15:12 AM	Auto System	10	Low
1 30 2023 7:14:40 AM	Auto System	10	Low
1 30 2023 7:14:20 AM	Auto System	10	Low
1 30 2023 7:13:43 AM	Auto System	25	Low
1 30 2023 7:13:52 AM	Auto System	0	Low

## KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of birth	China	0
11	Current address on the document	China	25
12	Please tell us about your current employment status.	Student	5
14	Please tell us about business you may conduct in other country(ies) besides where you are registered for tax purposes?	No	0
15	Is your individual identity or business registered or conducted in offshore tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	< 100,000 USD or title of my turnover is in cash	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	< 100,000 USD or title of my turnover is in cryptocurrency	0
18	Please tell us about your turnover of crypto funds, which more than one time if necessary.	Indifference	0
19	Please tell us about your turnover of crypto funds, which more than one time if necessary.	Crypto Trading, Long term investment, Crypto payment	5
20	Please select the amount you plan to use (select more than one box if necessary).	< 10,000	0
21	Please select the amount you plan to use (select more than one box if necessary).	10,000 - 100,000	15
22	Please tell us whether examples the funds will be received and/or transferred from.	Bank account	0
23	Let us know what your type of experience is with cryptocurrency trading. Please select one:	Beginner	0
24	How many years of experience do you have in crypto trading?	< 1 Year	0
25	Are you an immediate family member of a close associate, entrepreneur, or other person related, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

Add Comment

Add Comment

Add Comment

Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Tiers Mail Queue Notifications Activity Error Log Exploit Attempts Referrals Referral Bonuses

Whitelisted IPs Risk Scoring Transaction Monitoring Security Question Supporting Documents

INTERNAL ID LNC-87PB

MANUAL RISK SCORE 0  Save

TOTAL RISK SCORE 30

RISK LEVEL LOW

COMPLIANCE ADVANTAGE 10

HITS

COMPLIANCE ADVANTAGE LINK [Comply-Advantage Link](#)

VERIFICATION APPROVED

APPLICATION STATUS Approved By: Compliance

CATEGORY

NUMBER OF ATTEMPT TO 3

JUMBO

## Risk Score Update History

DATE & TIME	FULL NAME	ROLE	RISK SCORE	RISK LEVEL
01/3/2021 8:29:39 AM	Auto (System)	Auto (System)	30	Low

## KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of Birth	Taiwan	0
11	Citizenship on the document	Taiwan	25
12	Please tell us about your current employment status.	Employed	0
13	Please tell us about your occupation or business activity.	提合科技工程師	0
14	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
15	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	60-90k (most of my turnover is in cash)	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10k (none or little of my turnover is in cryptocurrency)	0
18	Please tell us about your source(s) of income (funds). Select more than one box if necessary.	Salary / business income	0
19	Please tell us about your source(s) of wealth? Select more than one box if necessary.	Inheritance, Employment Income	5
20	How much do you plan to deposit per year (USD and crypto combined)?	Crypto Trading, Long term investment, Arbitrage Trading, Participate in Initial Exchange Offering, Crypto payment	0
21	Let us know what your level of experience is with cryptocurrency trading? Please select one:	< 10 000	0
22	How many years of experience do you have in crypto trading?	Taiwan	0
23	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	Beginner	0
24		< 1 Year	0
25		No	0

## Comment

Add a comment...

Add Comment

DATE &amp; TIME

FULL NAME

ROLE

COMMENT

Based on the KYC responses, the Customer is considered Low Risk. Screening is performed against the Customer. There are 13 hits against the searched English name. There are 10 hits against the searched Chinese name. All hits can be discounted due to name mismatch.

The Customer's occupation is composite materials engineer.

Overall, KYC Onboarding Analyst [REDACTED] is of the view that the initial AML, CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Low Risk (Risk Score 30).



Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Tiers Mail Queue Notifications Activity Error Log Export Attempts Referrals Referral Bonuses

Whitelisted IPs Risk Scoring Transaction Monitoring Security Question Supporting Documents

INTERNAL ID 0052815  
MANUAL RISK SCORE 60  
TOTAL RISK SCORE 60  
RISK LEVEL Medium  
COMPLY ADVANTAGE 0  
HITS  
COMPLY ADVANTAGE LINK [Comply Advantage Link](#)  
VERIFICATION Approved  
APPLICATION STATUS Approved By Compliance  
CATEGORY JUMBO  
NUMBER OF ATTEMPT TO 3  
JUMBO Reset

### KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of birth	China	0
11	Citizenship on the document	United Kingdom	0
12	Please tell us about your current employment status.	Retired	0
13	Please tell us about your occupation or business activity.	Importer and wholesaler	0
14	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	NO	0
15	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	Yes Hong Kong	0
16	Please tell us about your annual turnover. In individual or business activity, which is handled in cash.	60-90% most of my turnover is in cash	0
17	Please tell us about your annual turnover. In individual or business activity, which is handled in cryptocurrency.	0-10% (none or little of my turnover is in cryptocurrency)	0
18	Please tell us about your source(s) of income / funds. Select more than one box if necessary.	Pension / social benefits, investments, savings	0
19	Please tell us about your source(s) of wealth? Select more than one box if necessary.	Property sale, Employment income, Business profits	0
20	Please select the currency you plan to use. Select more than one box if necessary.	Crypto Trading, Long term investment, Crypto payment	5
21	How much do you plan to deposit per year (USD and crypto combined)?	10 000 100 000	0
22	Please tell us which countries the funds will be received and / or transferred from.	Hong Kong New Zealand United States	15
23	Let us know what your level of experience is with cryptocurrency trading? Please select one:	Beginner	0
24	How many years of experience do you have in crypto trading?	< 1 Year	0
25	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	NO	0

### Comment

Add a comment...

### Add Comment

DATE & TIME

FULL NAME

ROLE

COMMENT

4/29/2021 1:19:19 PM

Based on the KYC responses, the Customer is Medium Risk considering the following risk factors according Customer Risk Model for Retail Customer:

Per Customer's reply in Zendesk, he was a green card holder until he went through official procedures with US embassy in Hong Kong and gave up his green card permanently since 2010. The reason for him to own a Bank of America account (joint account with son) is because he could support his son for college education (i.e. daily expenses), and he may remit some funds to his son for further investment since he does not trust the Hong Kong government.

Based on KYC questionnaire, customer's score is 20 points. In addition, client is retired and planning to deposit USD10K - 100K annually which accounts for additional 40 points. In total, client's risk score is 60 points which is not shown in KYC questionnaire.

Screening is performed against the Customer and there is 0 hit. Overall, Senior KYC onboarding analyst [REDACTED] is of the view that the initial AML CTR assessment result is consistent with Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk - Risk Score 60.

Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Tiers Mail Queue Notifications Activity Error Log Exploit Attempts Referrals Referral Bonuses

Whitelisted IPs **Risk Scoring** Transaction Monitoring Security Question Supporting Documents

INTERNAL ID	WK4ANPU
MANUAL RISK SCORE	0 <input type="text"/>
TOTAL RISK SCORE	30
RISK LEVEL	Low
COMPLIANCE ADVANTAGE	3
HITS	0
COMPLIANCE ADVANTAGE LINK	<a href="#">Compliance Advantage Link</a>
VERIFICATION	Approved
APPLICATION STATUS	Approved
CATEGORY	Approved By Compliance
NUMBER OF ATTEMPT TO	1
REASON	Reset

### Risk Score Update History

DATE & TIME	FULL NAME	ROLE	RISK SCORE	RISK LEVEL
10/15/2021 10:16:52 AM	Auto (System)	Auto (System)	30	Low
10/15/2021 10:14:50 AM	Auto (System)	Auto (System)	30	Low

### KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of birth	China	0
11	Citizenship on the document	China	25
12	Please tell us about your current employment status.	Unemployed	0
13	Please tell us about business you may conduct in other country(ies) besides where you are registered for tax purposes?	No	0
14	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
15	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10k (none or little of my turnover is in cash)	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10k (none or little of my turnover is in cryptocurrency)	0
17	Please tell us about your sources of income/funds. Select more than one box if necessary.	Savings	0
18	Please tell us about your sources of income/funds. Select more than one box if necessary.	Employment income	0
19	Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term investment, Crypto payment	5
20	How much do you plan to deposit per year (USD and crypto combined)?	< 10 000	0
21	Let us know what your level of experience is with cryptocurrency trading? Please select one:	Korea (South)	0
22	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	Beginner	0
23		< 1 Year	0
24		No	0

Comment

Add a comment...

Add Comment

DATE & TIME

FULL NAME

ROLE

COMMENT

11:17:2021 1:11:54 PM

Based on the KYC responses, the Customer is Low Risk considering the following risk factors. Customer is Citizen of China. Screening is performed against the Customer's English and Chinese Characters and there are 14 hits and all name mismatch. Overall, Senior KYC onboarding analyst [REDACTED] is of the view that the initial AML/CTF assessment result is consistent with Customer's profile and does not oppose the decision to onboard the Customer with Low Risk - Risk Score 30.

Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Tiers Mail Queue Notifications Activity Error Log Exploit Attempts Referrals Referral Bonuses

Whitelisted IPs **Risk Scoring** Transaction Monitoring Security Question Supporting Documents

INTERNAL ID  HELIXITY

MANUALRISKSCORE  0

TOTAL RISK SCORE 30

RISK LEVEL Low

COMPLYADVANTAGE 0

HITS

COMPLYADVANTAGE LINK [Comply-Advantage Link](#)

VERIFICATION Approved

APPLICATION STATUS Approved

CATEGORY Approved By: Compliance

NUMBER OF ATTEMPT TO  1

JUMBO

## Risk Score Update History

DATE & TIME	FULL NAME	ROLE	RISK SCORE	RISK LEVEL
11/11/2021 3:08:08 PM	Auto (System)	Auto (System)	30	Low
11/11/2021 3:07:11 PM	Auto (System)	Auto (System)	30	Low

## KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of Birth	Singapore	0
11	Citizenship on the document	Singapore	25
12	Please tell us about your current employment status.	Employed	0
13	Please tell us about your occupation or business activity.	Technology and communications-Telecommunication	5
14	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
15	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16	Please tell us about your annual turnover: in individual or business activity, which is handled in cash.	0-10K (none or little of my turnover is in cash)	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10K (none or little of my turnover is in cryptocurrency)	0
18	Please tell us about your sources of income/funds. Select more than one box if necessary.	Salary / Business Income	0
19	Please tell us about your sources of wealth? Select more than one box if necessary.	Employment Income	0
20	Please select the service(s) you plan to use: select more than one box if necessary.	Crypto Trading, Long term investment, Participate in initial Exchange Offering	0
21	How much do you plan to deposit per year (USD and crypto combined)?	1 below in Himalaya Exchange as the future	0
22	Please tell us which countries the funds will be received and/or transferred from.	10 000 100 000	0
23	Let us know what your level of experience is with cryptocurrency trading? Please select one:	Singapore	0
24	How many years of experience do you have in crypto trading?	Intermediate	0
25	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	1 - 3 Years	0

## Comment

Add a comment...

Add Comment

DATE & TIME

FULL NAME

ROLE

COMMENT

Based on the KYC responses, the Customer is considered Low Risk. Screening is performed against the Customer with 1 hit (Chinese) and 0 hit (English). Discounted due to name mismatch.

Customer's name matches that in the ID provided. The HEX status of 'rejected' due to 'full name differs' is hence ignored.

Overall, Compliance Officer [REDACTED] is of the view that the initial AML/CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Low Risk 30.

11/22/2021 11:06:03 AM

Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Tiers Mail Queue Notifications Activity Error Log Export Attempts Referrals Referral Bonuses

Whitelisted IPs **Risk Scoring** Transaction Monitoring Security Question Supporting Documents

INTERNAL ID	5128573
MANUAL RISK SCORE	0 <input type="text"/> Save
TOTAL RISK SCORE	46
RISK LEVEL	Medium
COMPLIANCE ADVANTAGE	0
HITS	0
COMPLIANCE ADVANTAGE LINK	<a href="#">Compliance Advantage Link</a>
VERIFICATION	Approved
APPLICATION STATUS	Approved By Compliance
CATEGORY	Approved By Compliance
NUMBER OF ATTEMPT TO	7
STATUS	Reset

### KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of birth	China	0
11	Citizenship on the document	China	31
12	Please tell us about your current employment status.	Employed	0
13	Please tell us about your occupation or business activity.	跨境电商	0
14	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
15	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10k (none or little of my turnover is in cash)	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10k (none or little of my turnover is in cryptocurrency)	0
18	Please tell us about your sources of income funds. Select more than one box if necessary.	Salary / business income, loan / Credit	0
19	Please tell us about your sources of wealth? Select more than one box if necessary.	Employment income, Business profits	0
20	Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term investment	0
21	How much do you plan to deposit per year (USD and crypto combined)?	< 10 000	15
22	Please tell us which countries the funds will be received and/or transferred from.	China	0
23	Let us know what your level of experience is with cryptocurrency trading? Please select one.	Beginner	0
24	How many years of experience do you have in crypto trading?	< 1 Year	0
25	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

### Comment

ADD A COMMENT...

Add Comment

DATE & TIME

FILE NAME

ROLE

COMMENT

Based on the KYC responses, the Customer is Medium Risk considering the following risk factors:  
 -Chinese citizenship per China ID (31)  
 -Customer told us the funds will be received and/or transferred from China (15)  
 So, the total risk rating score is 31+15=46.

After checking, the name customer inputted in system is matched with his China ID. The original status "full name differ" can be discounted. Screening is performed against the Customer. There are 2 hits against the searched Chinese name. All the potential hits are false hits as full name mismatch.

Customer is working as a surrogate driver.

Overall, KYC Onboarding Analyst [REDACTED] is of the view that the initial AML-CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk (Risk score 46).

6/2/2021 10:40:06 AM



Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Tiers Mail Queue Notifications Activity Error Log Exploit Attempts Referrals Referral Bonuses

Whitelisted IPs Risk Scoring Transaction Monitoring Security Question Supporting Documents

INTERNAL ID 5589AQ

MANUAL RISK SCORE 0 [See](#)

TOTAL RISK SCORE 50

RISK LEVEL Medium

COMPL ADVANTAGE 2

COMPL ADVANTAGE LINK [Compl Advantage Link](#)

LINK [Link](#)

VERIFICATION Approved

APPLICATION STATUS Approved

CATEGORY Approved (Compliance)

NUMBER OF ATTEMPT TO 5 [Save & Inform User](#)

STATUS [Reset](#)

## KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
1	Place of Birth	Taiwan	0
2	Citizenship on the document	Taiwan	25
3	Please tell us about your current employment status.	Retired	0
4	Please tell us about your occupation or business activity.	Health and wellness-Health care	5
5	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
6	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
7	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10k (none or little of my turnover is in cash)	0
8	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10k (none or little of my turnover is in cryptocurrency)	0
9	Please tell us about your source(s) of income/funds. Select more than one box if necessary.	Pension / Social benefits	0
10	Please tell us about your source(s) of wealth? Select more than one box if necessary.	Inheritance	5
11	Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term investment, Arbitrage Trading, Participate in initial Exchange Offering, Crypto payment	0
12	How much do you plan to deposit per year (USD and crypto combined)?	< 10 000	0
13	Please tell us which countries the funds will be received and/or transferred from.	Taiwan	15
14	Let us know what your level of experience is with cryptocurrency trading? Please select one.	Australia	0
15	How many years of experience do you have in crypto trading?	United States	0
16	Are you, an immediate family member or a close associate, entrusted, or have been entrusted with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	Beginner	0
17		< 1 Year	0

## Comment

Add a comment...

Add Comment

DATE &amp; TIME FULL NAME ROLE

COMMENT

Based on the KYC responses, the Customer is Medium Risk considering the following risk factors:

[23] Citizenship: Taiwan

[15] Funds will be received and/or transferred from: Taiwan, Australia, United States. As per email #92746, customer declared she has no relationship with the US (neither a US citizen nor US tax resident). She declared that she may open a US account in the future.

[5] occupation or business activity: Health and wellness-Health care

[5] service(s) you plan to use: Crypto Trading, Long term investment, Arbitrage Trading, Participate in initial Exchange Offering, Crypto payment

Screening is performed against the Customer. There are 2 hits (Chinese) and 2 hits (English) against the searched names. 2 hits are discounted due to non-AML CTR related and location difference. All the remaining hits are discounted due to name mismatch.

Overall, KYC Onboarding Analysis [REDACTED] is of the view that the Initial AML CTR assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk SO.

#92746 SOF

6, 9/2021 10:36:56 AM

6, 11/2021 4:41:34 PM

Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Tiers Mail Queue Notifications Activity Error Log Export Attempts Referrals Referral Bonuses

Whitelisted IPs Risk Scoring Transaction Monitoring Security Question Supporting Documents

INTERNAL ID340UMSK

MANUAL RISK SCORE0

TOTAL RISK SCORE36

RISK LEVELMedium

COMPLY ADVANTAGE HITS0

COMPLY ADVANTAGE LINKComply Advantage Link

VERIFICATION Approved

APPLICATION STATUS Approved

CATEGORY Approved By Compliance

NUMBER OF ATTEMPT TO 1

JUMIO Reset

Save & Inform User

KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of birth	China	0
11	Citizenship on the document	China	31
12	Please tell us about your current employment status.	Employed	0
13	Please tell us about your occupation or business activity.	餐饮服务	0
14	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
15	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	90-100% (all or almost all of my turnover is in cash)	0
17	Please tell us about your sources of income / funds. Select more than one box if necessary.	0-10% (none or little of my turnover is in cryptocurrency)	0
18	Please select the service(s) you plan to use. Select more than one box if necessary.	Salary / business income, Savings	0
19	Please select the service(s) you plan to use. Select more than one box if necessary.	Employment income	0
20	How much do you plan to deposit per year USD and crypto combined?	Crypto Trading, Long term investment, Participate in Initial Exchange Offering, Crypto payment	5
21	Let us know what your level of experience is with cryptocurrency trading? Please select one.	< 10 000	0
22	Please tell us which countries the funds will be received and/or transferred from.	Singapore	0
23	Are you an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	Beginner	0
24		< 1 Year	0
25		No	0

Comment

Add a comment...

Add Comment

DATE & TIME

FULL NAME

ROLE

COMMENT

5/12/2021 1:02:46 PM

Based on the KYC responses, the Customer is Medium Risk considering the following risk factors:  
-Chinese citizenship on per China Passport (31)  
-Customer chose Crypto Trading, Long term investment, Participate in Initial Exchange Offering, Crypto payment as the services he plan to use (5)  
So, the total risk rating score is 31+5=36.  
Screening is performed against the Customer. There are 4 hits against the searched Chinese name and 0 hit against the English name. All the potential hits can be discounted due to image, full name mismatch.  
Overall, KYC Onboarding Analysis of the view that the initial AML/CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with medium risk (Risk score 36).

Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Tiers Mail Queue Notifications Activity Error Log Export Attempts Referrals Referral Bonuses

Whitelisted IPs Risk Scoring Transaction Monitoring Security Question Supporting Documents

INTERNAL ID AAU21UA

MANUAL RISK SCORE 0

TOTAL RISK SCORE 10

RISK LEVEL Low

COMPLY ADVANTAGE 0

HITS

COMPLY ADVANTAGE LINK [ComplyAdvantage Link](#)

VERIFICATION

APPLICATION STATUS Auto-Approved

CATEGORY

NUMBER OF ATTEMPT TO 2

JUMBO

### Risk Score Update History

DATE & TIME	FULL NAME	ROLE	RISK SCORE	RISK LEVEL
10/28/2021 11:57:00 AM	Auto (System)	Auto (System)	10	Low

### KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of birth	United Kingdom	0
11	Citizenship on the document	United Kingdom	0
12	Please tell us about your current employment status.	Employed	0
13	Please tell us about your occupation or business activity.	Services - Legal Services	5
14	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
15	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0 - 10% (none or little of my turnover is in cash)	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0 - 10% (none or little of my turnover is in cryptocurrency)	0
18	Please tell us about your source(s) of income / funds. Select more than one box if necessary.	Salary / Business Income	0
19	Please select the service(s) you plan to use. Select more than one box if necessary.	Employment Income	0
20	How much do you plan to deposit per year (USD and crypto combined)?	Crypto Trading, Long term investment, Arbitrage Trading, Participate in Initial Exchange Offering, Crypto payment	5
21	Please tell us which countries the funds will be received and / or transferred from.	United Kingdom	0
22	Let us know what your level of experience is with cryptocurrency trading? Please select one:	Beginner	0
23	How many years of experience do you have in crypto trading?	< 1 Year	0
24	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

### Comment

Add a comment...

Add Comment

NUMBER OF ATTEMPT TO 5 Reset

INTERNAL ID	JOB#& FTS
MANUALRISKSCORE	51
TOTAL RISK SCORE	51
RISK LEVEL	Medium
CONFLUADVANTAGE HTS	12
CONFLVADVANTAGE LINK	<a href="#">ConfluenceAdvantage Link</a>
VIRIFICATION APPLICATION STATUS	Approved
CATEGORY	approved By: Conscience
NUMBER OF ATTEMPT TO JUDAO	5 Reset

QUESTIONS	QUESTIONS	ANSWERS	QUESTIONS
1. Place of birth	China	0	1. Place of birth
2. Citizenship on the document	China	31	2. Citizenship on the document
3. Please tell us about your current employment status.	Employed	0	3. Please tell us about your current employment status.
4. Please tell us about your occupation or business activity.	Other services, Non-profit, charity	100	4. Please tell us about your occupation or business activity.
5. Please tell us about business you may conduct in other country's besides where you are registered for tax purposes?	No	0	5. Please tell us about business you may conduct in other country's besides where you are registered for tax purposes?
6. Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0	6. Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?
7. Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-100k (more or little of my turnover is in cash)	0	7. Please tell us about your annual turnover, in individual or business activity, which is handled in cash.
8. Please tell us about your sources of income, funds, select more than one box if necessary.	0-100k (more or little of my turnover is in cryptocurrency)	0	8. Please tell us about your sources of income, funds, select more than one box if necessary.
9. Please tell us about your sources of income, funds, select more than one box if necessary.	Salary, business income	0	9. Please tell us about your sources of income, funds, select more than one box if necessary.
10. Please select the services you plan to use, select more than one box if necessary.	Employment income	0	10. Please select the services you plan to use, select more than one box if necessary.
11. How much do you plan to deposit per year (USD and crypto combined)?	Crypto Trading, Long term investment, Participate in initial Exchange offering, Crypto payment	5	11. How much do you plan to deposit per year (USD and crypto combined)?
12. Please tell us which countries the funds will be received and or transferred from.	< 10,000	0	12. Please tell us which countries the funds will be received and or transferred from.
13. Let us know what your level of experience is with cryptocurrency trading? Please select one	China	15	13. Let us know what your level of experience is with cryptocurrency trading? Please select one
14. How many years of experience do you have in crypto trading?	United States	0	14. How many years of experience do you have in crypto trading?
15. Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	Beginner	0	15. Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.
	< 1 Year	0	
	No	0	

Comment

Add Comment

259-2071 2 06 55 PM

3/20/2011 10:11:16 AM

Notification email has been sent to the Customer due to his country of residency in Egypt

agrees with ENHART's assessment to reduce risk level from Prohibited (15) to Medium (5)

1. Major risk factor contributing to financial risk is that customer selects occupation category as Non-profit. Change

3. Subsequent to the New Brunswick Committee's decision on 4 and 15 May 2011, *at-risk/high risk* cases triggered by this type of major concerning risk factor can be triggered by Compliance with committee's deliberations and without existing to the Committee.

based on the MC responses, the Customer is provided with considering the following risk factors

(f) *Costa citizenship per Costa ID* (1)

(2) The occupation is other service-non-profit, diversity (150)

(4) The funds will be received and be transferred from China and United States if S

So, the total risk score is  $31 + 100 - 5 + 15 = 141$ .

noting a promise against the customer: there are 14 hits against the brandized Cornish name. All the potential hits can be discounted due to full name not match.

Email: [selltocustomer@clanrican.com](mailto:selltocustomer@clanrican.com) or the receptionist and Son's Order at 076938

the three other services: high-profit, clearly because there is no market space

information provided by customer and the assessed source of wealth is commensurate with the Customer's profile.

This should be reviewed to New Business Committee for approval

Notification email will send to the Customer due to her country of residency is China once the application is approved.



Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Tiers Mail Queue Notifications Activity Error Log Exploit Attempts Referrals

Referral Bonuses Withhelded IPS **Risk Scoring** Transaction Monitoring Security Question Supporting Documents

INTERNAL ID	V9W73H5
MANUAL RISK SCORE	0 <input type="text"/> Save
TOTAL RISK SCORE	40
RISK LEVEL	Medium
COMPLYADVANTAGE	0
HTS	
COMPLYADVANTAGE LINK	<a href="#">ComplyAdvantage Link</a>
VERIFICATION	Approved
APPLICATION STATUS	Approved
CATEGORY	Approved By Compliance
NUMBER OF ATTEMPT TO	1 <input type="text"/> Reset
JUMIO	<input type="button" value="Save &amp; Inform User"/>

## KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of birth	China	0
11	Citizenship on the document	China	25
12	Please tell us about your current employment status.	Retired	0
13	Please tell us about your occupation or business activity.	Housewife	0
14	Please tell us about business you may conduct in other country(ies) besides where you are registered for tax purposes?	No	0
15	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10% (none or little of my turnover is in cash)	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10% (none or little of my turnover is in cryptocurrency)	0
18	Please tell us about your source(s) of income/funds. Select more than one box if necessary.	Savings	0
19	Please select the service(s) you plan to use. Select more than one box if necessary.	Employment Income	0
20	How much do you plan to deposit per year (USD and crypto combined)?	Long term investment	0
21	Please tell us which countries the funds will be received and/or transferred from.	< 10 000	0
22	Let us know what your level of experience is with cryptocurrency trading? Please select one:	China	15
23	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	Beginner	0
24		< 1 Year	0
25		No	0

## Comment

Add a comment...

Add Comment

DATE & TIME

FULL NAME

ROLE

COMMENT

6/10/2021 3:14:28 PM

Based on the KYC responses, the Customer is Medium Risk considering the following risk factors: Citizenship of China (25), and fund being transferred from China (15)

Screening is performed against the Customer. There are 0 hits against the searched names. In detail, they are false possible hits discounted by Full Name Not Match.

Overall, KYC Onboarding Analyst [REDACTED] is of the view that the initial AML/CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboarding the Customer with Medium Risk - 40 points.

CONFIDENTIAL

**Risk Score Update History**

DATE	SCORE	REASON
12/21/2023 10:55 AM	20	High
12/21/2023 10:55 AM	20	High

**Customer Information**

NAME	DATE	SCORE
John Doe	12/21/2023 10:55 AM	20
John Doe	12/21/2023 10:55 AM	20

**Customer Information**

NAME	DATE	SCORE
John Doe	12/21/2023 10:55 AM	20
John Doe	12/21/2023 10:55 AM	20

**Customer Information**

NAME	DATE	SCORE
John Doe	12/21/2023 10:55 AM	20
John Doe	12/21/2023 10:55 AM	20

**Customer Information**

NAME	DATE	SCORE
John Doe	12/21/2023 10:55 AM	20
John Doe	12/21/2023 10:55 AM	20

**Customer Information**

NAME	DATE	SCORE
John Doe	12/21/2023 10:55 AM	20
John Doe	12/21/2023 10:55 AM	20

**Customer Information**

NAME	DATE	SCORE
John Doe	12/21/2023 10:55 AM	20
John Doe	12/21/2023 10:55 AM	20

**Customer Information**

NAME	DATE	SCORE
John Doe	12/21/2023 10:55 AM	20
John Doe	12/21/2023 10:55 AM	20

**Customer Information**

NAME	DATE	SCORE
John Doe	12/21/2023 10:55 AM	20
John Doe	12/21/2023 10:55 AM	20



INTERNAL ID UNS08WV

MANUALRISKSCORE 0 30

TOTAL RISK SCORE 30

RISK LEVEL Low

COMPLYADVANTAGE 0

HITS

COMPLYADVANTAGE LINK [ComplyAdvantage Link](#)

VERIFICATION Approved

APPLICATION STATUS Approved

CATEGORY Approved by Compliance

NUMBER OF ATTEMPT TO 1

NUMO Risked

Size & Address Link

KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of birth	China	0
11	Citizenship on the document	China	23
12	Please tell us about your current employment status.	Employed	0
13	Please tell us about your occupation or business activity.	Technology and communication- information technology	5
14	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
15	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10k (none or little of my turnover is in cash)	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10k (none or little of my turnover is in cryptocurrency)	0
18	Please tell us about your source(s) of income/ funds. Select more than one box if necessary.	Salary business income	0
19	Please tell us about your source(s) of wealth? Select more than one box if necessary.	Employment income	0
20	Please select the service(s) you plan to use. Select more than one box if necessary.	Long term investments	0
21	How much do you plan to deposit per year (USD and crypto combined)?	10 000 100 000	0
22	Please tell us which countries the funds will be received and/or transferred from.	Switzerland	0
23	Let us know what your level of experience is with cryptocurrency trading? Please select one.	Intermediate	0
24	How many years of experience do you have in crypto trading?	< 1 Year	0
25	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

Comment

Add a comment...

Add Comment

DATE & TIME 4/27/2021 11:13:54 AM

FULL NAME

ROLE

COMMENT

Based on the KYC responses, the Customer is considered Low Risk. Screening is performed against the Customer's English and Chinese hits.

Email notification has also been sent to the Customer due to his country of residency in China.

Overall, Senior KYC Onboarding Analyst is of the view that the initial AML/CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Low Risk (30).



### Risk Score Update History

## KYC Questionnaire

### Comment

Case 1:23-cr-00118-AT Document 208-3 Filed 12/21/23 Page 25 of 50

Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Tiers Mail Queue Notifications Activity Error Log Export Attempts Referrals Referral Bonuses

Whitelisted IPs Risk Scoring Transaction Monitoring Security Question Supporting Documents

INTERNAL ID	KL2BW
MANUAL RISK SCORE	56
TOTAL RISK SCORE	56
RISK LEVEL	Medium
COUNTRY ADVANTAGE	0
HITS	0
COUNTRY ADVANTAGE LINK	<a href="#">Country Advantage Link</a>
VERIFICATION	Approved
APPLICATION STATUS	Approved
CATEGORY	Approved By: Consensus
NUMBER OF ATTEMPT TO	3
JUMIO	Reset

### KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of birth	China	0
11	Citizenship on the document	China	31
12	Please tell us about your current employment status.	Retired	0
13	Please tell us about your occupation or business activity.	Other services-farming activity	5
14	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
15	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	0-10% (none or little of my turnover is in cash)	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10% (none or little of my turnover is in cryptocurrency)	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	Pension / Social Benefits, Savings	0
18	Please tell us about your sources of income/funds. Select more than one box if necessary.	Initialance, Property sale	0
19	Please tell us about your sources of wealth? Select more than one box if necessary.	Crypto Trading, Long term investment, Participate in Initial Exchange Offering, Crypto payment	5
20	Please select the services you plan to use. Select more than one box if necessary.	< 10 000	0
21	How much do you plan to deposit per year (USD and crypto combined)?	China	15
22	Please tell us which countries the funds will be received and/or transferred from.	China	0
23	Let us know what your level of experience is with cryptocurrency trading? Please select one:	Beginner	0
24	How many years of experience do you have in crypto trading?	< 1 Year	0
25	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

### Comment

Add a comment...

Add Comment

DATE & TIME

FILE NAME

ROLE

COMMENT

Based on the KYC responses, the Customer is Medium Risk considering the following risk factors:

- Client's Citizenship per China ID (A1)
- The occupation is Other services-farming activity (5)
- Customer chose Crypto Trading, Long term investment, Participate in Initial Exchange Offering, Crypto payment as the services she plan to use (5)
- Customer told us the funds will be received and/or transferred from China (15)
- So, the total risk rating score is 31+5+5+15=56.

Screening is performed against the Customer. There is 1 hit against the searched Chinese name and 0 against the English name. The potential hit are also hit as full name mismatch.

Overall, KYC Onboarding Analysis [REDACTED] is of the view that the initial AML CTR assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with medium risk (risk score 56).

Notification email has been sent to the Customer due to her country of residency in China.

12/27/2021 10:11:14 AM

INTERNAL ID631502Q

MANUAL RISK SCORE0

TOTAL RISK SCORE46

RISK LEVELMedium

COMPIRY ADVANTAGE100

HITS

COMPIRY ADVANTAGE

Link

VERIFICATION

LINK

VERIFICATION STATUSApproved

APPLICATION STATUSApproved By Compliance

CATEGORY

NUMBER OF ATTEMPT TO7

Reset

NUMBER OF ATTEMPT TO7

Reset

Save & Inform User

KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
1	Place of birth	China	0
2	Citizenship on the document	China	31
3	Please tell us about your current employment status.	Unemployed	0
4	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
5	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
6	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10% (none or little of my turnover is in cash)	0
7	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10% (none or little of my turnover is in cryptocurrency)	0
8	Please tell us about your sources of income (funds). Select more than one box if necessary.	Salary / business income	0
9	Please tell us about your sources of wealth? Select more than one box if necessary.	Employment income	0
10	Please select the service(s) you plan to use. Select more than one box if necessary.	Long term investment, Participate in Initial Exchange Offering	0
11	How much do you plan to deposit per year (USD and crypto combined)?	< 10 000	0
12	Please tell us which countries the funds will be received and/or transferred from.	United Arab Emirates	15
13	Let us know what your level of experience is with cryptocurrency trading? Please select one.	China	0
14	How many years of experience do you have in crypto trading?	Beginner	0
15	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	< 1 Year	0
16		No	0

Comment

Add a comment...

Add Comment

DATE & TIME	FULL NAME	ROLE	COMMENT
5/5/2021 2:13:21 PM			[Updated by KYC Onboarding Analyst, ██████████] She is a China national residing in UAE (31) No email notification will be sent to the Customer due to her country of residency after approval. Based on the KYC responses, the Customer is medium risk considering the following risk factors: She is a China national residing in China (31) Her origin of funds include UAE and China (15)  Screening is performed against the Customer's Chinese and English names. There are 200 hits against the searched names and the potential hits are discounted as age mismatch, no AML/CTF related and customer declared that she is not a member of the Local Council or Standing Committee of Daxing Municipal People's Congress of China (1674). Other hits are discounted due to name mismatch.  Email notification will be sent to the Customer due to her country of residency after approval.
5/5/2021 2:11:59 PM			Overall, KYC Onboarding Analyst, ██████████ is of the view that the initial AML/CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk (46).

Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Mail Queue Notifications Activity Error Log Export Attempts Referrals Referral Bonuses

Whitelisted IPs Risk Scoring Transaction Monitoring Security Question Supporting Documents

INTERNAL ID E1729L

MANUAL RISK SCORE 0  Save

TOTAL RISK SCORE 56

RISK LEVEL Medium

COMPLY ADVANTAGE 0

HITS

COMPLY ADVANTAGE LINK [Comply Advantage Link](#)

VERIFICATION Approved

APPLICATION STATUS

CATEGORY Approves By: Compliance

NUMBER OF ATTEMPT TO 6

JUMBO

## KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
1	Place of birth	China	0
2	Citizenship on the document	China	31
3	Please tell us about your current employment status.	Employed	0
4	Please tell us about your occupation or business activity.	Technology and communications-information technology	5
5	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
6	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
7	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0--10% (none or little of my turnover is in cash)	0
8	Please tell us about your annual turnover, in individual or business activity, which is handled in crypto.	0--10% (none or little of my turnover is in cryptocurrency)	0
9	Please tell us about your source(s) of income funds. Select more than one box if necessary.	Salary / business income, investments, savings	0
10	Please tell us about your source(s) of wealth? Select more than one box if necessary.	Property sale, employment income, business profits	0
11	Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term investment, Participate in Initial Exchange Offering, Crypto payment	5
12	How much do you plan to deposit per year (USD and crypto combined)?	10 000 100 000	15
13	Please tell us which countries the funds will be received and/or transferred from.	China	0
14	Let us know what your level of experience is with cryptocurrency trading. Please select one:	Beginner	0
15	How many years of experience do you have in crypto trading?	1 - 3 years	0
16	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

## Comment

Add a comment...

Add Comment

DATE & TIME

FULL NAME

ROLE

COMMENT

8/24/2021 8:24:36 AM

Based on the KYC responses, the Customer is Medium Risk considering the following risk factors:

- Chinese Citizenship per China ID (31)
- The occupation is technology and communications-information technology (5)
- Customer chose Crypto Trading, Long term investment, Participate in Initial Exchange Offering, Crypto payment as the services he plan to use (5)
- Customer told us the funds will be received and/or transferred from China (15)

So, the total risk rating score is 31+5+5+15=56.

After checking, the name customer inputted in system is matched with his China ID. The original status "full name differ" can be discounted.

Screening is performed against the Customer. There is no hit against the searched Chinese name.

Overall, KYC Onboarding Analyst [REDACTED] is of the view that the initial AML, CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk [Risk score 56].



Field: **Customer** | **Location** | **Country** | **Phone Number** | **Address** | **Business Address** | **Bank Account** | **Account Type** | **Branch** | **City** | **State** | **Zip Code** | **Country** | **Language** | **Primary Contact**

**INTERNAL ID** | **DATE** | **TIME**

**EXTERNAL ID** | **STATUS** | **REASON** | **REMARKS**

**COMPLAINT** | **COMPLAINT ID** | **COMPLAINT TYPE** | **COMPLAINT STATUS** | **COMPLAINT DESCRIPTION**

**APPROVAL** | **APPROVAL ID** | **APPROVAL STATUS** | **APPROVAL DESCRIPTION**

**CATEGORY** | **CATEGORY ID** | **CATEGORY STATUS** | **CATEGORY DESCRIPTION**

**DATE** | **TIME** | **STATUS** | **REASON** | **REMARKS**

### KYC Questionnaire

**Part 1: Personal Information**

**Full Name** | **Date of Birth** | **Gender** | **Marital Status** | **Current Address** | **Previous Address** | **Phone Number** | **Email Address** | **Country of Birth** | **Country of Residence** | **Current Country** | **Current City** | **Current State** | **Current Zip Code** | **Current Country** | **Current Language** | **Primary Contact**

**Part 2: Financial Information**

**Annual Income** | **Net Worth** | **Assets** | **Liabilities** | **Current Employment** | **Previous Employment** | **Current Employer** | **Previous Employer** | **Current Position** | **Previous Position** | **Current Salary** | **Previous Salary** | **Current Employer Address** | **Previous Employer Address** | **Current Employer Phone Number** | **Previous Employer Phone Number** | **Current Employer Email Address** | **Previous Employer Email Address** | **Current Employer Country** | **Previous Employer Country** | **Current Employer City** | **Previous Employer City** | **Current Employer State** | **Previous Employer State** | **Current Employer Zip Code** | **Previous Employer Zip Code** | **Current Employer Country** | **Previous Employer Country** | **Current Employer Language** | **Previous Employer Language** | **Primary Contact**

**Part 3: Risk Assessment**

**Risk Level** | **Risk Score** | **Risk Factors** | **Risk Mitigation** | **Risk Assessment Date** | **Risk Assessment Status** | **Risk Assessment Description**

### Comment

**Comment ID** | **Comment Text** | **Comment Date** | **Comment Status** | **Comment Description**

**Comment ID** | **Comment Text** | **Comment Date** | **Comment Status** | **Comment Description**

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**Comment ID** | **Comment Text** | **Comment Date** | **Comment Status** | **Comment Description**

**Comment ID** | **Comment Text** | **Comment Date** | **Comment Status** | **Comment Description**

Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Tiers Mail Queue Notifications Activity Error Log Exploit Attempts Referrals Referral Bonuses

Whitelisted IP's Risk Scoring Transaction Monitoring Security Question Supporting Documents

INTERNAL ID	C850850
MANUAL RISK SCORE	0 Save
TOTAL RISK SCORE	36
RISK LEVEL	Medium
COMPLY ADVANTAGE	2
HITS	4
COMPLY ADVANTAGE LINK	<a href="#">ComplyAdvantage Link</a>
VERIFICATION	Approved
APPLICATION STATUS	Approved
CATEGORY	Approved by Compliance
NUMBER OF ATTEMPT TO	1 Save & Inform User
JUMBO	Reset

### KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
1	Place of birth	China	0
2	Citizenship on the document	China	31
3	Please tell us about your current employment status.	Employed	0
4	Please tell us about your occupation or business activity.		0
5	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
6	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
7	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10% (none or little of my turnover is in cash)	0
8	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10% (none or little of my turnover is in cryptocurrency)	0
9	Please tell us about your source(s) of income: funds. Select more than one box if necessary.	工资	0
10	Please select the service(s) you plan to use. Select more than one box if necessary.	Employment Income	0
11	How much do you plan to deposit per year (USD and crypto combined)?	Crypto Trading, Long term investment, Crypto payment	5
12	Please tell us which countries the funds will be received and/or transferred from.	< 10,000	0
13	Let us know what your level of experience is with cryptocurrency trading? Please select one:	Singapore	0
14	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	Beginner	0
15		< 1 Year	0

### Comment

Add a comment...

Add Comment

DATE & TIME

FULL NAME

ROLE

COMMENT

Based on the KYC responses, the Customer is Medium Risk considering the following risk factors:

1. Chinese citizenship per PIC passport
2. Selected services include Crypto Trading & Crypto Payment

Screening is performed against the customer. There are 2 hits against the searched English name. There are 4 hits against the searched Chinese name.

All hits are discounted as NAME MISMATCH, DOB MISMATCH, ADVERSE MEDIA UNRELATED TO AML/CTF.

Overall, Senior KYC Onboarding Analyst: [REDACTED] is of the view that the initial AML/CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk [36].

5/10/2021 10:39:28 AM

Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Tiers Mail Queue Notifications Activity Error Log Export Attempts Referrals Referral Bonuses

Whitelisted IP: **Risk Scoring** Transaction Monitoring Security Question Supporting Documents

INTERNAL ID	KGCHVN
MANUAL RISK SCORE	0 <input type="text"/> Save
TOTAL RISK SCORE	45
RISK LEVEL	Medium
COMPLY ADVANTAGE	0
HTS	
COMPLY ADVANTAGE LINK	<a href="#">Comply Advantage Link</a>
VERIFICATION APPLICATION STATUS	Auto-Approved
CATEGORY	▼ Bank & Inform User
NUMBER OF ATTEMPT TO	1
RESET	Reset

## Risk Score Update History

DATE & TIME	FULL NAME	ROLE	RISK SCORE	RISK LEVEL
3/15/2023 3:05:41 PM		Auto (System)	45	Medium

## KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of birth	China	0
11	Citizenship on the document	China	25
12	Please tell us about your current employment status.	Employed	0
13	Please tell us about your occupation or business activity.	加密货币	0
14	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
15	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10K (none or little of my turnover is in cash)	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10K (none or little of my turnover is in cryptocurrency)	0
18	Please tell us about your source(s) of income/funds. Select more than one box if necessary.	Salary / business income	0
19	Please tell us about your source(s) of wealth. Select more than one box if necessary.	Employment income	0
20	Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term investment, Crypto payment	5
21	How much do you plan to deposit per year (USD and crypto combined)?	10 000 100 000	0
22	Please tell us which countries the funds will be received and/or transferred from.	China	15
23	Let us know what your level of experience is with cryptocurrency trading? Please select one:	Beginner	0
24	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	< 1 Year	0
25		No	0

## Comment

350 8 COMMENTS...

Add Comment

INTERNAL ID  
CNF1PAS

MANUALRISKSCORE  
0

TOTAL RISK SCORE  
5

RISK LEVEL  
Low

COMPLYADVANTAGE  
HITS  
0

COMPLYADVANTAGE  
LINK  
Compliance Link

VERIFICATION  
APPLICATION STATUS  
Auto-Approved

CATEGORY

NUMBER OF ATTEMPT TO  
JUMIO  
2

Reset

Save & Inform User

KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of Birth	Hong Kong	0
11	Citizenship on the document	United Kingdom	0
12	Please tell us about your current employment status.	Employed	0
13	Please tell us about your occupation or business activity.	Trade - Trade in means of transport	5
14	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
15	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10k (none or little of my turnover is in cash)	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10k (none or little of my turnover is in cryptocurrency)	0
18	Please tell us about your sources of income/funds. Select more than one box if necessary.	Salary / business income	0
19	Please tell us about your sources of wealth? Select more than one box if necessary.	Employment income	0
20	Please select the service(s) you plan to use. Select more than one box if necessary.	Long term investment	0
21	How much do you plan to deposit per year (USD and crypto combined)?	< 10 000	0
22	Please tell us which countries the funds will be received and/or transferred from.	United Kingdom	0
23	Let us know what your level of experience is with cryptocurrency trading? Please select one.	Beginner	0
24	How many years of experience do you have in crypto trading?	< 1 Year	0
25	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

Comment

Add a comment...

Add Comment



DATE

TOTAL AID SCORE	81
AREA LEVEL	regional
COUNCIL VOUCHER #	1
COMPLAINT #	
VERIFICATION STATUS	Approved
CATEGORY	
NUMBER OF ATTORNEY TO	
REVIEW	None

## 1

Q	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13	Q14	Q15	Q16	Q17	Q18	Q19	Q20	Q21	Q22	Q23	Q24	Q25	Q26	Q27	Q28	Q29	Q30	Q31	Q32	Q33	Q34	Q35	Q36	Q37	Q38	Q39	Q40	Q41	Q42	Q43	Q44	Q45	Q46	Q47	Q48	Q49	Q50	Q51	Q52	Q53	Q54	Q55	Q56	Q57	Q58	Q59	Q60	Q61	Q62	Q63	Q64	Q65	Q66	Q67	Q68	Q69	Q70	Q71	Q72	Q73	Q74	Q75	Q76	Q77	Q78	Q79	Q80	Q81	Q82	Q83	Q84	Q85	Q86	Q87	Q88	Q89	Q90	Q91	Q92	Q93	Q94	Q95	Q96	Q97	Q98	Q99	Q100
1	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13	Q14	Q15	Q16	Q17	Q18	Q19	Q20	Q21	Q22	Q23	Q24	Q25	Q26	Q27	Q28	Q29	Q30	Q31	Q32	Q33	Q34	Q35	Q36	Q37	Q38	Q39	Q40	Q41	Q42	Q43	Q44	Q45	Q46	Q47	Q48	Q49	Q50	Q51	Q52	Q53	Q54	Q55	Q56	Q57	Q58	Q59	Q60	Q61	Q62	Q63	Q64	Q65	Q66	Q67	Q68	Q69	Q70	Q71	Q72	Q73	Q74	Q75	Q76	Q77	Q78	Q79	Q80	Q81	Q82	Q83	Q84	Q85	Q86	Q87	Q88	Q89	Q90	Q91	Q92	Q93	Q94	Q95	Q96	Q97	Q98	Q99	Q100
2	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13	Q14	Q15	Q16	Q17	Q18	Q19	Q20	Q21	Q22	Q23	Q24	Q25	Q26	Q27	Q28	Q29	Q30	Q31	Q32	Q33	Q34	Q35	Q36	Q37	Q38	Q39	Q40	Q41	Q42	Q43	Q44	Q45	Q46	Q47	Q48	Q49	Q50	Q51	Q52	Q53	Q54	Q55	Q56	Q57	Q58	Q59	Q60	Q61	Q62	Q63	Q64	Q65	Q66	Q67	Q68	Q69	Q70	Q71	Q72	Q73	Q74	Q75	Q76	Q77	Q78	Q79	Q80	Q81	Q82	Q83	Q84	Q85	Q86	Q87	Q88	Q89	Q90	Q91	Q92	Q93	Q94	Q95	Q96	Q97	Q98	Q99	Q100
3	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13	Q14	Q15	Q16	Q17	Q18	Q19	Q20	Q21	Q22	Q23	Q24	Q25	Q26	Q27	Q28	Q29	Q30	Q31	Q32	Q33	Q34	Q35	Q36	Q37	Q38	Q39	Q40	Q41	Q42	Q43	Q44	Q45	Q46	Q47	Q48	Q49	Q50	Q51	Q52	Q53	Q54	Q55	Q56	Q57	Q58	Q59	Q60	Q61	Q62	Q63	Q64	Q65	Q66	Q67	Q68	Q69	Q70	Q71	Q72	Q73	Q74	Q75	Q76	Q77	Q78	Q79	Q80	Q81	Q82	Q83	Q84	Q85	Q86	Q87	Q88	Q89	Q90	Q91	Q92	Q93	Q94	Q95	Q96	Q97	Q98	Q99	Q100
4	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10	Q11	Q12	Q13	Q14	Q15	Q16	Q17	Q18	Q19	Q20	Q21	Q22	Q23	Q24	Q25	Q26	Q27	Q28	Q29	Q30	Q31	Q32	Q33	Q34	Q35	Q36	Q37	Q38	Q39	Q40	Q41	Q42	Q43	Q44	Q45	Q46	Q47	Q48	Q49	Q50	Q51																																																	

1

[illegible][illegible]

Transaction Monitoring Security Question Supporting Documents

INTERNAL ID

MANUALRISKSCORE

TOTAL RISK SCORE

RISK LEVEL

COMPLIANCE/ADVANTAGE

HTS

COMPLIANCE/ADVANTAGE LINK

VERIFICATION

APPLICATION STATUS

CATEGORY

NUMBER OF ATTEMPT TO

JIDMO

2

Reset

Send a system link

Risk Score Update History

DATE & TIME	FILE NAME	NOTE	RISK SCORE	RISK LEVEL
7/14/2023 10:19:12 AM	Auto (System)	Auto (System)	15	Low

KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of birth	China	0
11	Citizenship on the document	China	0
12	Please tell us about your current employment status.	Employed	0
13	Please tell us about your occupation or business activity.	Software Engineer	0
14	Please tell us about business you may conduct in other country(ies) besides where you are registered for tax purposes?	No	0
15	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-100k (none or little of my turnover is in cash)	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-100k (none or little of my turnover is in cryptocurrency)	0
18	Please tell us about your source(s) of income funds. Select more than one box if necessary.	Salary / business income	0
19	Please tell us about your source(s) of wealth. Select more than one box if necessary.	Employment income	0
20	Please select this service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term investment, Participate in Initial Exchange Offering, Crypto payment	6
21	How much do you plan to deposit per year (USD and crypto combined)?	10 000 100 000	0
22	Please tell us which countries the funds will be received and/or transferred from.	China	0
23	Let us know what your level of experience is with cryptocurrency trading? Please select one.	Beginner	0
24	How many years of experience do you have in crypto trading?	< 1 Year	0
25	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

Comment

Add a comment...

Add Comment

QUESTION SORT ORDER	QUESTION	ANSWER
10	Place of birth	China
11	Citizenship on the document	China
12	Please tell us about your current employment status.	Employed

## Comment

## COMMENT

and Crypto payment (5)

hed with the expected

Journal of the American Academy of Child and Adolescent Psychiatry 45:10 (October 2006), pp 1293–1300

There is no hit against the searched names.

and updated at a single time from 31 questions from a customer report in Germany and deducted 31 score from China. Thus,  $51 + 50 - 31 = 70$ .

INITIALS	2117190	
MOBILIZATION		999
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TESTS		
CONFOUNDING		
WTS		
CONFOUNDING ACI		
LINK		
VARIATION		
APPROX. NEW STATUS		
CATEGORY		
APPROVED, COMPLETE		
NUMBER OF AUTHOR TO	4	
BASE		

## KYC Questionnaire

	Strongly Dislike	Dislike	Neutral	Like	Strongly Like
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100					

## comment

### Add Comment

10

23/2022 4:04:22 PM

6/20/21 9:59 AM

2021 9:55:09 AM

5/20/21 9:07:43 AM

2021 2 23 09 PM

5



2

9

2

2





INTERVAL ID	START/END
ANALYSIS/SCORING	01
TOTAL WORK SCORE	100%
SCORE LEVEL	100%
SCORE	100%

COMPONENTS	
LINK	<a href="#">View</a>
STATUS	Approved
APPLICATION STATUS	APPROVED
CATEGORY	APPROVED
NUMBER OF ATTEMPT TO	1
DATE	2025-01-01

536 Questionnaire

[illegible][illegible][illegible]

INTERNAL ID 0 BUSA1J

MANUAL RISK SCORE 56

TOTAL RISK SCORE 56

RISK LEVEL Medium

COMPL ADVANTAGE 100

HITS

COMPL ADVANTAGE LINK [ComplAdvantage Link](#)

VERIFICATION Approved

APPLICATION STATUS Approved

CATEGORY Approved by Compliance

NUMBER OF ATTEMPT TO 3

NUMO 3

Reset

See & Inform User

## KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK FACTOR
1	Place of birth	China	0
2	Citizenship on the document	China	31
3	Please tell us about your current employment status.	Employed	0
4	Please tell us about your occupation or business activity.	Technology and communications information technology	3
5	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
6	Please tell us about individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	0-10k (none or little of my turnover is in cash)	0
7	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10k (none or little of my turnover is in cryptocurrency)	0
8	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	Salary / business income, investments, savings	0
9	Please tell us about your source(s) of income funds. Select more than one box if necessary.	Property sale, employment income	0
10	Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto trading, long term investment, participate in initial exchange offering, crypto payment	5
11	How much do you plan to deposit per year (USD and crypto combined)?	10 000 100 000	0
12	Please tell us which countries the funds will be received and/or transferred from.	Australia	15
13	Let us know what your level of experience is with cryptocurrency trading? Please select one.	Singapore	0
14	How many years of experience do you have in crypto trading?	United States	0
15	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	Beginner	0
16		< 1 Year	0
17		No	0

## Comment

Add a comment...

DATE & TIME	RISK NAME	RISK	COMMENT
-------------	-----------	------	---------

Screening QA is performed against the Customer. There are 100 hits against the searched English name. There are 100 hits against the searched Chinese name. All hits are disclosed as NAME MISMATCH, DOB MISMATCH, OCCUPATIONAL BACKGROUND MISMATCH, PHOTO MISMATCH, COUNTRY OF RESIDENCE MISMATCH, ADVERSE MEDIA UNRELATED TO AML, CTF, or CORPORATES.

Senior KYC Onboarding Analyst [REDACTED] emailed the Customer clarification regarding US funds via Zendesk #53673 on 18 May.

The Customer cited traveling & investment as primary justifications for transaction with US account.

Senior KYC Onboarding Analyst [REDACTED] emailed the Customer notification regarding Chinese Residence via Zendesk #54066 on 18 May.

Based on the KYC responses, the Customer is Medium Risk considering the following risk factors:

1. Chinese citizenship per PRC Passport

2. Occupation of Information Technology

3. Selected services include Crypto Trading, Participate in Initial Exchange Offering, Crypto Payment

4. Funds received and/or transferred from Australia, Singapore, US

Screening is performed against the Customer. There are 100 hits against the searched English name. There are 100 hits against the searched Chinese name.

All hits are disclosed as NAME MISMATCH, DOB MISMATCH, OCCUPATIONAL BACKGROUND MISMATCH, ADVERSE MEDIA UNRELATED TO AML, CTF, or CORPORATES.

Overall, Senior KYC Onboarding Analyst [REDACTED] is of the view that the initial AML, CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk PS.

18 2023 1 02:55 PM

INTERNAL ID

MANUALRISKSCORE

TOTAL RISK SCORE

RISK LEVEL

COMPLYADVANTAGE

HITS

COMPLYADVANTAGE LINK

VERIFICATION

APPLICATION STATUS

CATEGORY

NUMBER OF ATTEMPT TO

STATUS

0

30

Low

0

ComplyAdvantage Link

Auto-Approved

1

Reset

Risk Score Update History

DATE & TIME	FULL NAME	ROLE	RISK SCORE	RISK LEVEL
11/10/2021 12:57:18 PM			30	Low

KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK FACTOR
0	Place of birth	China	0
1	Citizenship on the document	Singapore	25
2	Please tell us about your current employment status.	Employed	0
3	Please tell us about your occupation or business activity.	Water supply	0
4	Please tell us about business you may conduct in other country(ies) besides where you are registered for tax purposes?	No	0
5	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
6	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	90-100K (all or almost all of my turnover is in cash)	0
7	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-100K (none or little of my turnover is in cryptocurrency)	0
8	Please tell us about your sources of income. Funds. Select more than one box if necessary.	Salary / Business income	0
9	Please tell us about your sources of wealth. Select more than one box if necessary.	Employment income	0
10	Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term investment, Crypto payment	5
11	How much do you plan to deposit per year (USD and crypto combined)?	10 000 100 000	0
12	Please tell us which countries the funds will be received and/or transferred from.	Singapore	0
13	Let us know what your level of experience is with cryptocurrency trading? Please select one:	Beginner	0
14	How many years of experience do you have in crypto trading?	< 1 Year	0
15	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

Comment

Add a comment...

Add Comment

Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Tiers Mail Queue Notifications Activity Error Log Export Attempts Referrals Referral Bonuses Whitelisted IP's **Risk Scoring**

Transaction Monitoring Security Question Supporting Documents

INTERNAL ID WCAUHQD  
MANUAL RISK SCORE 51  
TOTAL RISK SCORE 51  
RISK LEVEL Medium  
COMPLY/ADVANTAGE 0  
HTS  
COMPLY/ADVANTAGE  
LINK [Comply/Advantage Link](#)  
VERIFICATION Approved  
APPLICATION STATUS Approved  
CATEGORY Approved By/Complete  
NUMBER OF ATTEMPT TO 1  
JUMBO Reset

▼ Show & Hide Link

### KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of birth	China	0
11	Citizenship on the document	China	31
12	Please tell us about your current employment status.	Unemployed	0
14	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
15	Is your individual activity of business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10k (none or little of my turnover is in cash)	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10k (none or little of my turnover is in cryptocurrency)	0
18	Please tell us about your source(s) of income (funds). Select more than one box if necessary.	Investments	0
19	Please tell us about your source(s) of wealth. Select more than one box if necessary.	Property sale	0
20	Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term investment, Participate in initial exchange offering, Crypto payment	5
21	How much do you plan to deposit per year (USD and crypto combined)?	< 10 000	0
22	Please tell us which countries the funds will be received and/or transferred from.	Russia	15
23	Let us know what your level of experience is with cryptocurrency trading? Please select one:	Beginner	0
24	How many years of experience do you have in crypto trading?	< 1 Year	0
25	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

### Comment

ADD A COMMENT...

DATE & TIME	FULL NAME	RISK	COMMENT
-------------	-----------	------	---------

6/23/2021 10:50:39 AM

There is 1 hit against the searched box for English and Chinese name. All discount as crime mismatch based on the KYC responses, the Customer is Medium Risk considering the following risk factors:

1. Chinese citizenship per RUC passport [31]
2. Selected services include Crypto Trading, Long Term Investment, Participate in initial Exchange Offering, Crypto payment [5]
3. Funds received and/or transferred from Russia [15]

Screening is performed against the Customer.

There is 0 hit against the searched box for English and Chinese name.

Overall, KYC Onboarding Analysis [REDACTED] is of the view that the initial AML CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk [51].

5/20/2021 4:23:18 PM



### Risk Score Update History

[illegible]

## KYC Questionnaire

[illegible]

## Comment

DATE & TIME	FILE NAME	SIZE	COMMENT
			This will have results with improved by percentage of change.

This ad hoc review was triggered by periodic reviews

As per client's signed KDC Questionnaire form, customer declared that client's existing profile has no changes.

Name steering is performed against customer and there is no hit against the searched names.

As per #238473, address proof is provided to support the current residency.

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Since the risk score calculation method is unchanged, we recalculated each risk score based on existing information. Comparing the new risk score calculation result is consistent with the Euroscore's profile and the risk level will be remain unchanged.

Score will be averaged from 06 to 09.

Senior Compliance Manager [REDACTED] has no further comments to Compliance Analyst's assessment [REDACTED] will not escalate to the New Business Committee [REDACTED]

or more additional evidence should be requested on Soft and Soft.

Wiederum werden *Staphylococcus* nach *Streptococcus* vorrangig als Ursache bei den eitrigen Infektionen beim Menschen angesehen. In der Haut sind *Staphylococcus aureus* und *Staphylococcus epidermidis* die häufigsten Erreger.

2. Unemployed Status &amp; USD 10k-100k Deposit per Year (40)

4. Funds will be received and/or transferred from Australia, China, Philippines & Hong Kong [20]

According to the KYC Questionnaire, the Customer will deposit funds from Australia, China, Philippines & Hong Kong. He has declared deposit volume is be

years old, the accumulated income from his previous employment and the revenue from his property sale can match with the declared deposit volume. The

[illegible]

high risk (risk score 90). This should be escalated to New Business Committee for approval.

Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Traders Tiers Mail Queue Notifications Activity Error Log Export Attempts Referrals Referral Bonuses Whitelisted IPs **Risk Scoring**

Transaction Monitoring Security Question Supporting Documents

INTERNAL ID	PHUB20
MANUAL RISK SCORE	0 <a href="#">See</a>
TOTAL RISK SCORE	15
RISK LEVEL	Low
COMPLY ADVANTAGE HTS	0
COMPLY ADVANTAGE LINK	<a href="#">Crypto Advantage Link</a>
VERIFICATION	Auto-Approved
APPLICATION STATUS	<a href="#">See &amp; Inform User</a>
CATEGORY	
NUMBER OF ATTEMPT TO JUMO	2 <a href="#">Reset</a>

### KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of birth	China	0
11	Citizenship on the document	Australia	0
12	Please tell us about your current employment status.	Owner of legal entity	5
13	Please tell us about your occupation or business activity.	Technology and communications-information technology	5
14	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
15	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10k income or little of my turnover is in cash	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10k income or little of my turnover is in cryptocurrency	0
18	Please tell us about your source(s) of income/funds. Select more than one box if necessary.	Salary / business income	0
19	Please tell us about your source(s) of wealth. Select more than one box if necessary.	Employment income, business profits	0
20	Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Participate in Initial Exchange Offering, Crypto payment	5
21	How much do you plan to deposit per year (USD and crypto combined)?	10 000 100 000	0
22	Please tell us which countries the funds will be received and / or transferred from.	Australia	0
23	Let us know what your level of experience is with cryptocurrency trading? Please select one	Beginner	0
24	How many years of experience do you have in crypto trading?	< 1 Year	0
25	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

### Comment

[Add a comment...](#)

[Add Comment](#)

Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Tiers Mail Queue Notifications Activity Error Log Exploit Attempts Referrals Referral Bonuses Whitelisted IPs **Risk Scoring**

Transaction Monitoring Security Question Supporting Documents

INTERNAL ID	776534F
MANUALRISKSCORE	0
TOTAL RISK SCORE	51
RISK LEVEL	Medium
COMPLYADVANTAGE	0
COMPLYADVANTAGE HTS	0
LINK	<a href="#">Crypto-Advantage Link</a>
VERIFICATION	Approved
APPLICATION STATUS	Approved By Compliance
CATEGORY	Save & return later
NUMBER OF ATTEMPT TO JUNKO	3 Reset

### KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
0	Place of birth	China	0
1	Citizenship on the document	China	31
2	Please tell us about your current employment status.	Employed	0
3	Please tell us about your occupation or business activity.	#655	0
4	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
5	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	0-10% (none or little of my turnover is in cash)	0
6	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10% (none or little of my turnover is in cryptocurrency)	0
7	Please tell us about your annual turnover, in individual or business activity, which is handled in crypto.	Salary / business income, investments, savings	0
8	Please tell us about your source(s) of income, funds. Select more than one box if necessary.	Employment income	5
9	Please select the source(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term investment, Arbitrage Trading, Participate in initial exchange offering, Crypto payment	0
10	Please select the source(s) you plan to use. Select more than one box if necessary.	Crypto 100 000	0
11	How much do you plan to deposit per year (USD and crypto combined)?	United States	15
12	Please tell us which countries the funds will be received and/or transferred from.	China	0
13	Let us know what your level of experience is with cryptocurrency trading? Please select one:	Switzerland	0
14	How many years of experience do you have in crypto trading?	Beginner	0
15	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	< 1 Year	0

### Comment

Add 3 comments...

Add Comment

DATE & TIME

FULL NAME

RACE

COMMENT

5/9/2023 2:14:28 PM

Based on the KYC responses, the Customer is Medium risk considering the following risk factors:

He is a China national residing in China.

His planned usage include crypto trading, long term investment, arbitrage trading, participate in initial exchange offering and crypto payment.

His origin of funds include US, China and Switzerland.

Enquiry was sent to Customer via Zendesk due to hit edge of funds from US.

He declared that he does not have any form of US identity- US index is explained.

Screening is performed against the Customer's Chinese and English names.

There is 1 hit against the searched names and the hit is discounted due to name mismatch.

Overall, KYC Onboarding Analyst: [REDACTED] is of the view that the initial AML CTR assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk(51).

Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Tiers Mail Queue Notifications Activity Error Log Export Attempts Referrals Referral Bonuses Whitelisted IPs **Risk Scoring**

INTERNAL ID: KYORCL  
 MANUAL RISK SCORE: 41  
 TOTAL RISK SCORE: 41  
 RISK LEVEL: Medium  
 COMPLIANCE ADVANTAGE: 0  
 COMPLIANCE ADVANTAGE LINK: [Compliance Advantage Link](#)  
 VERIFICATION: Approved  
 APPLICATION STATUS: Approved By Compliance  
 CATEGORY: [See a Different Use](#)  
 NUMBER OF ATTEMPT TO: 7  
 JUMBO: Reset

QUESTION ID	QUESTION	ANSWER	RISK RATING
10	Place of Birth	China	0
11	Citizenship on the document	China	31
12	Please tell us about your current employment status.	Self-employed	5
13	Please tell us about your occupation or business activity.	Services- Tourism and travel agencies activities	5
14	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	NO	0
15	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	NO	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10k (none or little of my turnover is in cash)	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10k (none or little of my turnover is in cryptocurrency)	0
18	Please tell us about your source(s) of income (fund). Select more than one box if necessary.	Salary / business income	0
19	Please tell us about your source(s) of wealth. Select more than one box if necessary.	Business profits	0
20	Please select the service(s) you plan to use. Select more than one box if necessary.	Long term investment	0
21	How much do you plan to deposit per year (USD and crypto combined)?	10 000-100 000	0
22	Please tell us which countries the funds will be received and/or transferred from.	Australia	0
23	Let us know what your level of experience is with cryptocurrency trading. Please select one.	Beginner	0
24	How many years of experience do you have in crypto trading?	< 1 Year	0
25	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role of a senior military position, at home or overseas.	NO	0

### Comment

Add a comment...

Add Comment

DATE & TIME: FULL NAME: RISK SCORE: COMMENT:

Based on the KYC responses, the Customer is Medium Risk considering the following risk factors:

1. Chinese Citizenship as per inputted by the customer [31]
2. Self-employed status [5]
3. Business activity is Services- Tourism and travel agencies activities [5]

Screening is performed against the Customer. There are 3 hits against the searched names. All hits can be discounted due to the Name Mismatch.

Overall, KYC Onboarding Analyst [REDACTED] is of the view that the initial AML CTR assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk (Risk Score: 41).



Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Tiers Mail Queue Notifications Activity Error Log Exploit Attempts Referrals Referral Bonuses Whitelisted IPs **Risk Scoring**

Transaction Monitoring Security Question Supporting Documents

INTERNAL ID	72417NF8
MANUAL RISK SCORE	51
TOTAL RISK SCORE	51
RISK LEVEL	Medium
COMPLY ADVANTAGE	100
HITS	
COMPLY ADVANTAGE LINK	<a href="#">ComplyAdvantage Link</a>
VERIFICATION	Approved
APPLICATION STATUS	Approved By Compliance
CATEGORY	3
NUMBER OF ATTEMPT TO	3
JUDG	Repeat

### KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of Birth	China	0
11	Citizenship on the document	China	31
12	Please tell us about your current employment status.	Employed	0
13	Please tell us about your occupation or business activity.	Editor	0
14	Please tell us about businesses you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
15	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10k (income or little of my turnover is in cash)	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10k (income or little of my turnover is in cryptocurrency)	0
18	Please tell us about your sources of income funds. Select more than one box if necessary.	Salary / business income, investments, savings	0
19	Please tell us about your sources of wealth? Select more than one box if necessary.	Property sale, Employment income, business profits	0
20	Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term investment, Arbitrage Trading, Participate in Initial Exchange Offering, Crypto payment	5
21	How much do you plan to deposit per year (USD and crypto combined)?	10 000 100 000	0
22	Please tell us which countries the funds will be received and/or transferred from.	China	15
23	Let us know what your level of experience is with cryptocurrency trading? Please select one:	Beginner	0
24	How many years of experience do you have in crypto trading?	< 1 Year	0
25	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

### Comment

Add a comment...

ADD COMMENT	DATE & TIME	FULL NAME	NOTE	COMMENT
-------------	-------------	-----------	------	---------

5/11/2021 10:12:55 AM

Based on the KYC responses, the Customer is Medium Risk considering the following risk factors:

(3) Citizenship: China

(17) funds will be received and/or transferred from: China

(21) services you plan to use - Crypto Trading, Long term investment, Arbitrage Trading, Participate in Initial Exchange Offering, Crypto payment

Screening is performed against the Customer. There are 100 hits against the searched names. 98 hits are discounted due to name mismatch. 2 hits are discounted because there were no related result by using name and ID to search in the database provided in the link.

Notification email has been sent to the Customer due to his country of residency in China.

Overall, KYC Onboarding Analysis: [REDACTED] is of the view that the initial AML/CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Medium Risk 51.

Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Test Mail Queue Notifications Activity Error Log Export Attempts Referrals Referral Bonuses Whitelisted IPs **Risk Scoring**

Transaction Monitoring Security Question Supporting Documents

INTERNAL ID	0	SCORE	144
MANUALRISKSCORE	25		
TOTAL RISK SCORE	25		
RISK LEVEL	Low		
COMPL/ADVANTAGE	0		
HITS			
COMPL/ADVANTAGE LINK			
VERIFICATION	Auto-approved		
APPLICATION STATUS			
CATEGORY			
NUMBER OF ATTEMPT TO	4		
JMNO	Reset		

### Risk Score Update History

DATE & TIME	FULL NAME	ROLE	RISK SCORE	RISK LEVEL
1/26/2022 1:30:17 PM	Auto (System)	Auto (System)	25	Low
1/26/2022 1:29:57 PM	Auto (System)	Auto (System)	25	Low
1/26/2022 1:29:11 PM	Auto (System)	Auto (System)	25	Low
1/26/2022 1:28:25 PM	Auto (System)	Auto (System)	25	Low

### KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK RATING
10	Place of birth	China	0
11	Citizenship on the document	China	25
12	Please tell us about your current employment status.	Employed	0
13	Please tell us about your occupation or business activity.		0
14	Please tell us about your business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
15	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	90-100k (all or almost all of my turnover is in cash)	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10k (none or little of my turnover is in cryptocurrency)	0
18	Please tell us about your source(s) of income/funds. Select more than one box if necessary.	TRADE	0
19	Please select the service(s) you plan to use. Select more than one box if necessary.	Employment income	0
20	How much do you plan to deposit per year (USD and crypto combined)?	Crypto Trading, Long term investment	0
21	Let us know what your level of experience is with cryptocurrency trading? Please select one.	< 10,000	0
22	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government job, a regulatory role or a senior military position, at home or overseas.	Korea (South)	0
23		Beginner	0
24		< 1 Year	0
25		No	0

### Comment

Add a comment...

Add Comment

DATE & TIME	FULL NAME	ROLE	COMMENT
1/1/2023 10:20:28 AM			Full name mismatch with ID, Customer input: [REDACTED]

Profile Balances Ledger Deposits Deposit Addresses Withdrawals Redemption Limits Withdrawal Addresses Bank Accounts Active Orders Completed Orders Trades Tiers Mail Queue Notifications Activity Error Log Explore Attempts Referrals Referral Bonuses Whitelisted IPs **Risk Scoring**

INTERNAL ID

MANUALRISKSCORE

TOTAL RISK SCORE

RISK LEVEL

COMPLYADVANTAGE

HTS

COMPLYADVANTAGE LINK

VERIFICATION

APPLICATION STATUS

CATEGORY

NUMBER OF ATTEMPT TO

JUMBO

MC09831

0

6

Low

0

HTS

Crypto Advantage Link

Auto-Approved

Save & Inform Later

2

Reset

Risk Score Update History

DATE & TIME	FULL NAME	ROLE	RISK SCORE	RISK LEVEL
3/1/2023 4:40:08 PM	Auto (System)	Auto (System)	6	Low
3/1/2023 4:38:28 PM	Auto (System)	Auto (System)	0	Low
3/1/2023 4:37:45 PM	Auto (System)	Auto (System)	0	Low

KYC Questionnaire

QUESTION START ORDER	QUESTION	ANSWER	RISK RATING
12	Please tell us about your current employment status.	Self-employed	0
13	Please tell us about your occupation or business activity.		0
18	Please tell us about your sources of income. funds. Select more than one box if necessary.	Salary Business Income	0
19	Please tell us about your sources of wealth. Select more than one box if necessary.	Employment Income	0
20	Please select the services you plan to use. Select more than one box if necessary.	Crypto Trading, Long term Investment, Participate in Initial Exchange Offering, Crypto Payment	6
21	How much do you plan to deposit per year (USD and crypto combined)?	< 10,000	0
22	Please tell us which countries the funds will be received and or transferred from.	Hong Kong	0
25	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

Comment

Add a comment...

Add Comment

Profile Balances Ledger Deposits Deposit addresses Withdrawals Redemption Limits Withdrawal addresses Bank Accounts Active Orders Completed Orders Trades Tiers Mail Queue Notifications Activity Error Log Export Attempts Referrals Referral Bonuses Whitelisted IP's **Risk Scoring**

INTERNAL ID CODE22?  Save

MANUAL RISK SCORE TOTAL RISK SCORE 3

RISK LEVEL Low

COUNTRY ADVANTAGE 60

LINK [Country Advantage Link](#)

VERIFICATION Approved

APPLICATION STATUS Approved By: Compliance

CATEGORY  Save & Return Link

NUMBER OF ATTEMPT TO 1 Report

## KYC Questionnaire

QUESTION CODE ORDER	QUESTION	ANSWER	RISK RATING
10	Place of Birth	China	0
11	Citizenship on the document	Australia	0
12	Please tell us about your current employment status.	Employed	0
13	Please tell us about your occupation or business activity.	Health and wellness-Health care	5
14	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
15	Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10k (none or little of my turnover is in cash)	0
17	Please tell us about your source(s) of income/ funds, select more than one box if necessary.	0-10k (none or little of my turnover is in cryptocurrency)	0
18	Please tell us about your source(s) of income/ funds, select more than one box if necessary.	Salary / business income	0
19	Please select the services/ you plan to use, select more than one box if necessary.	Employment income	0
20	How much do you plan to deposit per year (USD and crypto combined)?	Long term investment	0
21	Please tell us which countries the funds will be received and/ or transferred from.	< 10 000	0
22	Let us know what your level of experience is with cryptocurrency trading? Please select one.	Australia	0
23	How many years of experience do you have in crypto trading?	Beginner	0
24	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	< 1 Year	0
25		No	0

## Comment

Add a comment...

Add Comment

DATE & TIME 5/12/2023 9:33:31 AM

FULL NAME

ROLE

COUNTRY

Based on the KYC response, the Customer is considered Low Risk. Screening is performed against the Customer with 53 hits. 02 are discounted due to name mismatch. 1 hit is discounted by using name and ID number to search in the link provided, no relevant result is shown.

Overall, KYC Onboarding Analysis is of the view that the initial AML, CTR assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Low Risk 5.



INTERNAL ID	SOC278E
MANUAL SCORE	0
TOTAL RISK SCORE	55
RISK LEVEL	Medium
COMPLIANCE ADVANTAGE	39
COMPLIANCE ADVANTAGE LINK	<a href="#">Compliance Advantage Link</a>
VERIFICATION	Approved
APPLICATION STATUS	Approved by Compliance
CATEGORY	Approved by Compliance
NUMBERS OF ATTEMPT TO JUMP	5
	Reset

[illegible]

	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25
Place of birth																
Citizenship on the document																
Plases tell us about your current employment status.																
Plases tell us about your occupation or business activity.																
Plases tell us about business you may conduct in other country(ies) besides where you are registered for tax purposes?																
Is your individual activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?																
Plases tell us about your annual turnover, in individual or business activity, which is handled in cash.																
Plases tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.																
Plases tell us about your source(s) of income funds. Select more than one box if necessary.																
Plases tell us about your source(s) of wealth. Select more than one box if necessary.																
Please select the services you plan to use. Select more than one box if necessary.																
How much do you plan to deposit per year USD and crypto combined?																
Plases tell us which countries the funds will be received and/or transferred from.																
Let us know what your level of experience is with cryptocurrency trading? Plases select one how many years of experience do you have in crypto trading?																
Are you an immediate family member or a close associate, affiliated, or have been affiliated, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.																
	China	China	Self-employed	Services/Tourism and travel agencies activities	No	No	0-10% (none or little of my turnover is in cash)	0-10% (none or little of my turnover is in cryptocurrency)	Salary / business income	Employment income, Business profits	Crypto Trading, long term investments, Arbitrage Trading, Crypto payments	10 000 100 000	China	Regimen	< 1 Year	No
	0	25	5	5	0	0	0	0	0	0	5	15	0	0	0	0

Add Comment

1

12/17/2021 8:19:15 PM

DATE &amp; TIME

FULL NAME

NOTE

COMMIT

- Full Name matches with Jiniao record
- DOS matches with Jiniao record
- Full address provided
- Origin of Funds from US, Canada, Japan - Nil
- No connection to any Unsanctioned Country
- Discussing of Screening Mts. - zero English and Chinese name search hit.

INTERNAL ID  
LO7DOLW

MANUAL RISK SCORE  
5

RISK LEVEL  
Low

COMPLY ADVANTAGE  
1

HITS

COMPLY ADVANTAGE LINK  
ComplyAdvantage Link

VERIFICATION  
Approved

APPLICATION STATUS  
Approved

CATEGORY  
Approved By Compliance

NUMBER OF ATTEMPT TO  
1

REJECT

3/13/2022 12:29:17 PM

DATE & TIME

FULL NAME  
Auto System

RISK SCORE  
5

RISK LEVEL  
Low

Risk Score Update History

KYC Questionnaire

QUESTION SORT ORDER	QUESTION	ANSWER	RISK MATCH
10	Place of Birth	China	0
11	Citizenship on the document	Australia	0
12	Please tell us about your current employment status.	Employed	0
13	Please tell us about your occupation or business activity.	real estate agent	0
14	Please tell us about business you may conduct in other country(s) besides where you are registered for tax purposes?	No	0
15	Is your residential activity or business registered or conducted in preferential tax zone (for instance, free economic zone, offshore jurisdiction)?	No	0
16	Please tell us about your annual turnover, in individual or business activity, which is handled in cash.	0-10k (more or little of my turnover is in cash)	0
17	Please tell us about your annual turnover, in individual or business activity, which is handled in cryptocurrency.	0-10k (more or little of my turnover is in cryptocurrency)	0
18	Please tell us about your source(s) of income. Select more than one box if necessary.	Salary / Business income, Investments	0
19	Please tell us about your source(s) of wealth. Select more than one box if necessary.	Property sale	0
20	Please select the service(s) you plan to use. Select more than one box if necessary.	Crypto Trading, Long term investment, Arbitrage Trading, Participate in Initial Exchange Offering, Crypto payment	5
21	How much do you plan to deposit per year USD and crypto combined?	10 000 100 000	0
22	Please tell us which countries the funds will be received and/or transferred from.	Australia	0
23	Let us know what your level of experience is with cryptocurrency trading? Please select one.	Beginner	0
24	How many years of experience do you have in crypto trading?	< 1 Year	0
25	Are you, an immediate family member or a close associate, entrusted, or have been entrusted, with prominent public functions in any country or international institution? This could be a public office, a government role, a regulatory role or a senior military position, at home or overseas.	No	0

Comment

Add 8 Comments...

Add Comment

DATE & TIME

FULL NAME

ROLE

COMMENT

Based on the KYC responses, the Customer is considered Low Risk. Screening is performed against the Customer with 8 hits.

All hits can be discounted due to name mismatch.

Overall, KYC Onboarding Analyst [REDACTED] is of the view that the initial AML CTF assessment result is consistent with the Customer's profile and does not oppose the decision to onboard the Customer with Low Risk [RISK SCORE 5].